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DEVELOPMENT AND TRANSFER OF TECHNOLOGIES

STATUS OF THE CONSULTATIVE PROCESS (DECISION 4/CP.4)

Possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention

Note by the Chairman

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I. INTRODUCTION

A. Mandate

1. At its eleventh session, the Subsidiary Body for Scientific and Technological Advice (SBSTA) requested the Chairman, with the assistance of the secretariat, to make every effort, before the twelfth session of the SBSTA, to identify possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (FCCC/SBSTA/1999/14, paragraph 75 (g)).

2. It further requested the Chairman to take into account the results of the three regional workshops on the consultative process on transfer of technology (FCCC/SBSTA/1999/11, FCCC/SBSTA/2000/INF.2 and FCCC/SBSTA/2000/INF.6), submissions by Parties on how issues and questions listed in the annex to decision 4/CP.4 (FCCC/CP/1998/16/Add.1) should be addressed, and the special report of the Intergovernmental Panel on Climate Change (IPCC) on methodological and technological issues in technology transfer.

B. Scope of the note

3. This note responds to the above mandates. It reflects the evolution of the overall discussions within the consultative process. It also contains a synthesis of views submitted by Parties and identifies possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention. It does not contain information on the special report of the IPCC noted in paragraph 2. A copy of the special report will be made available to Parties at the twelfth session of the SBSTA by the IPCC.

C. Possible action by the SBSTA

4. The SBSTA may wish to consider, prioritize and develop a more focused list of possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention. It may wish to provide guidance to the Chairman and the secretariat on further activities under the transfer of technology consultative process.

II. POSSIBLE ELEMENTS OF A FRAMEWORK FOR MEANINGFUL AND EFFECTIVE ACTIONS TO ENHANCE THE IMPLEMENTATION OF ARTICLE 4.5 OF THE CONVENTION

A. Introduction

5. The secretariat organized three regional workshops, one for Africa, held in Arusha, United Republic of Tanzania, from 16 to 18 August 1999, one for Asia and the Pacific, held in Cebu, the Philippines, from 17 to 19 January 2000, and one for Latin America and the Caribbean, held in San Salvador, El Salvador, from 29 to 31 March 2000. The agenda of each regional

workshop was designed to correspond to the issues and questions contained in the annex to decision 4/CP.4, taking into account the regional and global perspectives of the transfer of technology. The workshops promoted the sharing of information and ideas on the special situations and needs of countries and regions with respect to technology transfer and the discussion of possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention.

6. The workshops were made possible through the financial and/or in-kind support of the governments of Australia, Austria, Canada, Finland, France, Germany, Japan, the Netherlands and the United States of America, as well as the support of the United Nations Environment Programme. The workshops were organized by the secretariat with the kind assistance of the governments of the United Republic of Tanzania, the Philippines and El Salvador.

7. The two last mentioned regional workshops were conducted in cooperation with two regional industry seminars on technology diffusion organized by the Climate Technology Initiative (CTI). This cooperation was of significant assistance to the consultative process. In particular, using its regional network and capacities, the CTI industry seminars helped obtain a broad range of inputs from the private sector in these regions. A further industry seminar on technology diffusion in Eastern Europe was also organized by the CTI in cooperation with the UNFCCC secretariat in Bratislava, Slovakia, from 14 to 17 July 1999. This seminar provided valuable inputs to the process from the perspectives of the Eastern European countries in transition.

8. The results of the three regional workshops demonstrate a process of evolution. At the first regional workshop, held in Africa (FCCC/SBSTA/1999/11), participants were able to exchange their views and experience regarding technology cooperation programmes and projects, as well as to identify key barriers to the transfer of environmentally-sound technologies in the African context. The Chairman said he considered this workshop a good start to the consultative process and noted that the experience gained from this workshop would be very useful for the preparation of the next two regional workshops.

9. The discussion in this workshop focused largely on issues and concerns of "the what" (what are the technology needs, what are the barriers, what are the roles of different stakeholders, etc.?).

10. The second regional workshop, held in Asia and the Pacific (FCCC/SBSTA/2000/INF.2), began to address questions of "the how" (e.g., how can technology needs be identified and assessed, how can barriers be identified and addressed, how can different stakeholders participate, and how can these ideas be brought together in a framework for action under the UNFCCC. Based on experience gained from the first regional workshop, the Chairman, with the assistance of the secretariat, initiated a new approach by establishing three working groups. The three working groups considered identical sets of issues and questions based on the annex to decision 4/CP.4. In the working groups and the final session of the workshop, the participants

were able to discuss and provide specific ideas on possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention.

11. At the third regional workshop, held in Latin America and the Caribbean (FCCC/SBSTA/2000/INF.6), the discussions continued on "how" technology transfer under the Convention could be sustainable and effectively carried out between Parties. Particular attention was paid to the role and function of the private sector in technology transfer for the region.

12. During all the workshops, including working groups and plenary sessions, the Chairman did not attempt to hold a debate or to reach agreement among participants on the appropriateness, practicability or acceptability of the ideas emerging from the working groups or the final session or how such ideas relate to a framework.

13. This note summarizes the progress of the consultative process, taking into account the regional workshops, submissions from Parties and the IPCC special report on methodological and technological issues in technology transfer. It comprises the following four sections:

- The general approach to technology transfer under the Convention;
- Issues of scope and accountability related to a framework for action;
- Possible objectives of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention;
- Possible elements of such a framework.

B. The general approach to technology transfer under the Convention

14. A broad consensus emerged among workshop participants on the essential building blocks of a framework. These shared views relate to a wide range of issues and questions raised in the context of decision 4/CP.4. Most participants appeared to agree that:

- The development and transfer of adaptation and greenhouse gas abatement technologies is a concern of many countries;
- The term "technology transfer" includes both "soft" and "hard" elements of technology;
- The role of governments is crucial, even though the transfer of technology usually involves many stakeholders and is a complex process;
- Most bilateral and multilateral projects and programmes in developing countries, including technology transfer activities, are undertaken primarily to alleviate poverty, stimulate economic and social development, reduce environmental pollution and improve public health. Integrating climate change into existing projects and programmes is a way of ensuring long-term climate-related benefits, whilst capturing near-term economic, social and environmental benefits. In turn, technology cooperation should be consistent with sustainable development priorities, should build on local knowledge and expertise, and should take into account the synergies between local environmental concerns and climate change objectives;

- For all governments, there should be firm linkage between overall development plans, commitments under the Convention, and a strategy to enhance the transfer of technology;
- Capacity-building is an important aspect of technology transfer;
- Country-specific, market-based technology transfer programmes are an effective way of enhancing the implementation of Article 4.5.

C. Issues of scope and accountability related to a framework for action

15. Central to the discussions throughout the regional workshops are uncertainties regarding issues of scope and accountability in relation to Article 4.5. One key question related to scope is, "Which actions should be recognized as fulfilling a Party's commitments under the Convention?" Another key question relates to accountability, " How can technology transfer be measured and reported upon under the UNFCCC?"

(a) Which actions should be recognized as fulfilling the commitments of Annex I Parties under Article 4.5?

16. Participants in the workshops expressed different views on what activities could or should be recognized as fulfilling commitments related to technology transfer under the Convention. Some participants from developing countries summed this up by asking the question, "What is the difference between technology transfer under the Convention and technology transfer outside the Convention?" At least two distinct views were presented.

17. One view is that any framework should deliver an outcome which is distinctly identified as responding to Article 4.5 of the Convention. This view places the onus on the governments of developed countries to take actions to fulfil their responsibilities under Article 4.5 and report upon activities undertaken and the outcome of these activities. Under this view, the technologies transferred under the Convention by government action would be distinct from those transferred by the private sector outside the Convention.

18. Several participants linked the scope of a framework to Article 11.1 of the Convention, which pertains to the provision of financial resources for technology transfer on a grant or concessional basis. These participants noted that technology transfer on such a basis requires an active government role in transferring technologies rather than reliance on the private sector.

19. An alternative perspective is that a framework should take a broader view of technology transfer, in light of the many changes and developments which have occurred since the Convention was drafted. An effective and sustainable framework to enhance technology transfer under the Convention must recognize and take into account these developments, including effective bilateral and multilateral technology transfer programmes. The proponents of this view believed that sustainable transfer of technology can only occur when there is a partnership between stakeholders in developed and developing countries. This view recognizes private sector actions, including those facilitated by government activity, as contributing towards meeting and commitments under the Convention.

(b) How can technology transfer under the UNFCCC be reported upon and measured?

20. In general, participants agreed that for all Parties to the Convention any framework should improve measuring, reporting and accounting procedures for technology transfer. There was, however, no common view of how best to measure technology transfer under the Convention and by which metric to evaluate these efforts (e.g., using financial indicators, technology indicators or market impact indicators). Further, there was a divergence of views on whether or not meaningful technology transfer goals could even be set.

21. It was suggested that one possible way to address this issue would be to revise the UNFCCC guidelines for Annex I Party national communications (decision 9/CP.2). However, Parties would need to consider the schedule for reporting and the level of detail.

22. It was noted that much more information on technology-related activities and projects exists than is reported in national communications and submissions. This information is available, or could readily be made available at the national level. Any framework should attempt to incorporate such information as it would be useful to Parties. Several participants suggested that a database of relevant projects be constructed and maintained to help stakeholders to learn from the experience of others. Such a database could be maintained by the secretariat and could contain a register of technology transfer projects recognized under the Convention.

D. Possible objectives of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention

23. While participants at the regional workshops did not reach agreement upon what constitutes a framework, they made significant progress in identifying objectives of a framework. Possible objectives could be:

- To enhance the coordination of the full range of stakeholders in different countries and regions and to engage them in cooperative efforts to accelerate the development and diffusion, including transfer, of environmentally-sound technologies (ESTs), know-how and practices to and between developing countries through technology cooperation and partnerships (public/public, private/public, private/private);

- To improve the flow of, access to, and quality and comparability of information relating to the development and transfer of ESTs under the Convention, including, for example, the systematic screening and dissemination of information on relevant technology research, development and demonstration projects;

- To build specific capacities relating to the development and transfer of technology including, for example, greater involvement of developing countries in research and development of climate-related ESTs, and to build capacities to fill any gaps in the coordination of national technology needs assessments (including prioritization exercises, training, institutional strengthening and financing);

- To improve the effectiveness of donor assistance to Parties in their efforts to achieve the objectives of the Convention; in particular, to integrate developing country technology priorities into the research and development, and technology demonstration activities of the Annex I Parties and to improve donor coordination on technology-related issues under the Convention;

- To assist Parties in distinguishing between Parties' efforts specifically related to technology transfer under Article 4.5 of the Convention and other activities not directly related to Article 4.5 commitments.

- To remove barriers to the development and transfer of ESTs, wherever they exist.

E. Possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention

24. There are at least two ways of presenting the large and diverse number of ideas and suggestions related to elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention as generated during the regional workshops. One approach is to compile all the various ideas for possible actions by various stakeholder, for example: All Parties, Annex II Parties; non-Annex I Parties; joint activities and partnerships; and intergovernmental actions. Such a compilation is contained in Annex I.

25. Another approach is to highlight a small number of ideas that received considerable attention at each workshop, particularly the last two workshops. The ideas presented below are those that received such attention. No priority is suggested by the order in which they are presented. They are presented to help Parties focus the consideration of a framework for meaningful and effective actions that might be agreed upon by COP 6.

26. The strengths and weaknesses of the ideas listed in Annex I or those described below have not been identified.

Technology needs and technology needs assessments

27. Technology needs assessments were discussed extensively at the workshops. It was suggested that Parties could consider developing cooperative programmes through which financial and technical assistance could be provided to developing countries to conduct technology needs assessments. Technology needs assessments could include technology impact analysis, identifying and prioritizing technology needs, and building appropriate institutional and human capacity for sustainable technology transfer. Such programmes could coordinate stakeholders from both donors and developing countries in the technology transfer process. The programmes could evaluate local EST needs and barriers to technology transfer by providing for processes that include all stakeholders, for example, government, business, technical institutions, and NGOs. The outcome of these needs assessments could be a prioritized set of technology needs and a portfolio of climate technology activities for both mitigation and adaptation.

28. It was noted that some developing countries, in particular those in the Asia and Pacific region, have completed needs assessments and/or compiled a list of technology needs. These countries suggested it is more important for them to move forward by developing and implementing action to respond to identified needs. Thus, this element would need to be flexible, allowing for the specific differences among regions and countries. The needs assessments was, however, of considerable interest to many African countries.

Technology information

29. The participants at the three regional workshops highlighted the central importance of access to, and the dissemination of, technology information. There were a number of suggestions for possible actions; two of these are as follows:

- Establish, in each developed country, a one-stop technology transfer "shop" to coordinate and implement technology transfer programs. These "shops" could assist with the preparation of projects and programmes to respond to priority needs for mitigation and adaptation;

- Develop inventories of available environmentally-sound technologies including those in the public domain as well as past and present technology transfer activities;

Capacity-building for technology transfer

30. Throughout the regional workshops and in particular the one in Africa, many suggestions on practical steps to build capacity for technology transfer were presented or discussed. Many of the ideas for possible elements of a framework for actions suggested at the regional workshops refer to capacity-building activities. Frequently, the purpose of such activities is to remove various kinds of barriers to the transfer of technologies, where they exist.

31. Discussions at the regional workshops frequently concerned various aspects of how to build the capacities of developing countries to enhance the transfer of technology. The following five key messages were particularly endorsed by participants at each of the workshops:

- Capacity-building activities which can most successfully help achieve and sustain effective technology transfer are those which measurably utilize and enhance existing endogenous capacities and technologies;

- Technology transfer does not solely concern so-called "hard technologies" but is almost always also about so-called "soft technologies" (e.g. know-how and practices). Indeed, sometimes it is exclusively about soft technologies. Transferring experience, knowledge, skills, know-how and practices is capacity-building;

- The assessment of existing capacities and the identification of gaps where capacity-building activities can be targeted is a critical step which must be incorporated

into the design of any framework. Existing projects incorporating country-driven, multi-stakeholder assessments of technology needs provide a useful model in relation to the assessment of capacity-building needs, especially those closely linked to technology transfer;

- Capacity-building through international bilateral or multilateral activities is usually a two-way process resulting in the building of capacities on both sides, i.e. the host country as well as the donor countries or organizations themselves. Greater efforts are needed to raise awareness of the many ways in which donor countries could support and channel resources to effectively build capacities. Any framework should also assist in building the capacities of the donor countries to make their contributions more effective;

- In practical terms, often the best way to build capacity is through demonstration or pilot projects. There are many good reasons for this, including: the simple benefits of learning by doing; the vertical coordination of a large number of decision makers and stakeholders which project experience brings about; creation and support for necessary "intermediaries"; the use of local consultants and contractors to enhance capacities; and the positive effect that projects have on the broader enabling environment.

32. Several suggestions for building various kinds of capacities to enhance technology transfer under the Convention are noted in the reports of the regional workshops and also in the compilation of submissions from Parties in annex II to this document.

33. The building of capacities to enhance technology transfer and to achieve other objectives of the Convention (e.g. greenhouse gas emission reductions, adaptation) are intricately interlinked. In other words, actions that would enhance the transfer of technologies are likely also to enhance the attainment of other goals under the Convention, and vice versa. Throughout the consultative process, participants were aware that issues relating to capacity-building are being considered in an integrated manner by the SBI and the SBSTA.

34. Capacity-building elements related to technology transfer that could be considered either under the technology transfer consultation process or in an "integrated capacity-building process" include assisting developing countries to:

- Identify technology needs;
- Address economic and financial barriers;
- Improve organizations and institutions;
- Strengthen human resources;
- Overcome technological barriers; and
- Access to technology information.

Transfer of technology mechanisms

35. Discussions at the workshops were predominantly oriented towards presentation and discussion of possible elements of a framework, rather than on the strengths and weaknesses of existing or possible new transfer of technology mechanisms. The Global Environment Facility made presentations at each workshop and participants had a chance to exchange views and share information on relevant projects in each region.

36. During the course of the workshops, a number of ideas were presented which some participants referred to explicitly as mechanisms or in other cases compared them to existing mechanisms. Examples can be found in the various background papers prepared for each of the three regional workshops. These are available on the secretariat web pages.

37. One theme which emerged at the workshops was that of "review bodies" or processes to facilitate the reporting and accounting of information relating to technology transfer projects. It was suggested that an *ad hoc* panel of experts be established possibly from the roster of experts. The panel or review bodies could monitor and review activities on technology transfer at the country level and help improve the international technology transfer process.

38. Several Parties referred to transfer of technology mechanisms in their submissions. Paragraphs 5-11 of annex II to this document summarizes the relevant views of Parties views. There is a wide divergence of opinion on what mechanisms are appropriate for technology transfer under the convention. Parties may wish to provide the Chairman with guidance on which suggestions on existing or new mechanisms, possible elements may potentially form an acceptable framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the convention.

Annex I

COMPILATION OF POSSIBLE ACTIONS BY DIFFERENT STAKEHOLDERS

Suggestions for possible actions by all Parties

1. The regional workshop participants generated several proposals regarding possible actions which could be undertaken by all Parties to enhance the transfer of technologies. These potential actions included the following:

- Governments should consider implementing legal, institutional and policy reforms as they relate to the transfer of technology. Parties should consider actions to make the above-mentioned systems more transparent and efficient;

- There is a need for financial reforms to improve the availability and accessibility of capital and financing for technology projects. In developed countries, reform could include enhanced promotion of foreign direct investment whereas in developing countries, reforms could include promotion of access to financing for ESTs. In general, the provision of increased financial support specifically to assist the development and transfer of ESTs to the region was noted as a key role for both developed and developing countries;

- Complex and overly bureaucratic procurement procedures are often cited as a significant barrier to private sector participation in technology projects in developing countries. Simplifying and streamlining these procedures would encourage greater private sector involvement in technology transfer projects which could result in higher quality and lower cost outcomes;

- The promotion of competitive globally-oriented markets is fundamental to increasing flows of high quality technologies and information. However, care must be taken to ensure sustainable development goals are not compromised;

- There is a need to link national policy actions with global issues. For example, countries should consider policies to influence the business practices of multinational enterprises through policies and programmes to encourage these entities to apply best practice standards in all countries where they operate;

- Sustainable technology transfer requires the establishment of proper enabling environments which are defined by stable, clear and coherent market signals including the clear protection of intellectual property rights;

- Information exchange is important for facilitating the transfer of technology. Both developed and developing country Parties should encourage the open exchange of information on technology and technology-related activities. These information

exchanges should also include information on adaptation technologies and on the social, environmental and human health impacts of climate technology programmes.

Suggestions for possible actions led by Annex II Parties

2. The regional workshop participants also suggested possible actions which could be undertaken by Annex II Parties to enhance the transfer of technologies to the region. These actions included the following:

- Develop and implement domestic programmes which discourage industries in Annex II countries from utilizing restrictive business practices. These efforts could also include reassessment of national development assistance programmes which promote tied aid;

- Enhance export credits and other instruments which provide incentives for the private sector to participate in the transfer of ESTs. These efforts should be targeted particularly at countries with low flows of foreign direct investment;

- Provide financial and technical assistance for developing countries to carry out needs assessments, including technology impact analysis, to identify and prioritize technology needs and develop a portfolio of climate technology actions for mitigation and adaptation;

- Develop and implement domestic actions and incentives in Annex II countries to promote the transfer of ESTs by the private sector;

- Enhance or develop linkages between the climate technology related research and development communities and the official development assistance communities within donor countries with a view to delivering support more efficiently to developing countries;

- Make available information on financing sources for ESTs and provide assistance to developing countries in accessing these resources;

- Examine options to boost the effectiveness of the private sector as an important and successful delivery vehicle for transferring technology for mitigation and adaptation technologies.

Possible actions led by non-Annex I Parties

3. The regional workshop participants also drew up a number of suggestions related to possible actions which could be undertaken by non-Annex I Parties to enhance the transfer of technologies to the region. These actions included the following:

- Identify and establish "focal points" to coordinate domestic technology transfer activities and actions related to the transfer of ESTs and develop a portfolio of climate technology actions (strategies) for mitigation and adaptation;

- Conduct technology needs assessments, including technology impact assessments, and ensure fair and equitable evaluation of local EST needs and of barriers to technology transfer by development and implementation of a transparent process with broad stakeholder consultation (government, business, technical institutions, NGOs). The outcome of these needs assessments should be a limited, prioritized set of technology needs and portfolio of climate technology actions;

- Build public awareness and support for development and adoption of ESTs through development of effective standards and labelling programmes, consumer education, as well as documentation of the social, environmental and human health related benefits of ESTs;

- Develop regional and South-South technology transfer initiatives;

- Enhance, develop and strengthen research and development programmes for ESTs and promote complementary policies for their diffusion;

- Develop the in-country enabling conditions and capacities to support, maintain and adopt technology transfer. These enabling conditions should also include the enhancement of physical and communication infrastructure;

- Integrate the reporting of technology transfer needs, including mitigation and adaptation technology transfer strategies, with national communications. Consider implementing a separate activity in coordination with development of national plans to routinely update the needs and strategies;

- Improve macroeconomic stability and maintain a stable legal structure to facilitate transfer of ESTs.

Suggestions for possible joint activities and partnerships

4. The regional workshop participants also formulated a number of suggestions related to activities that could be undertaken jointly or in partnership between developed and developing countries to enhance the transfer of technologies to the region. These actions included the following:

- Conduct joint research and development programmes through bilateral and multilateral research and development initiatives. Technology partnerships could be formed among institutions supporting research and development activities. These efforts could be focused on the development of priority indigenous technologies identified by the

developing country needs assessments. Research and development activities could be conducted on these priority technologies jointly with the development of appropriate technologies and development of supporting human capacities, to successfully integrate these technologies into developing country markets;

- Develop technology demonstration centres, including in-field technology demonstrations, in developing countries. This idea was similar to the expressed need to develop or enhance cleaner production centres in the region and to link these centres with activities involving the transfer of technology under the UNFCCC;

- Form technology units in developing countries with technical and financial assistance of Annex II Parties. These units could conduct and coordinate technology transfer activities and actions in collaboration with similar units (one stop technology shops) established in the developed countries. Appropriate activities may include the following:

  - Conduct technology needs assessments to identify technology-related priorities;

  - Serve as focal points for stakeholder participation;

  - Conduct analysis of technology impacts;

  - Analyse anticipatory adaptation technologies and measures to promote their use;

  - Plan, coordinate and implement a portfolio of priority climate technology actions for mitigation and adaptation;

  - Coordinate project identification, financing, and design, including joint ventures and project implementation and management;

  - Develop, enhance and expand multilateral technology programmes, one example of which is the Cooperative Technology Implementation Plan (CTIP) programme of the Climate Technology Initiative. A multilateral technology programme could assist with coordinating donor responses to technology needs and develop a portfolio of priority climate technology actions for mitigation and adaptation. Further, this programme could assist with developing country needs assessments, identify technology priorities and actions, and build institutional and human capacity to facilitate sustainable transfer of technology;

  - Strengthen regional and subregional integration activities, including technology activities of regional and subregional bodies and institutions. These institutions could serve as technology information centres and clearing houses and provide informational databases of regional technology needs and projects. Further,

such existing bodies could become enhanced centres of excellence that could carry out technology-based training programmes;

- These centres could also be a focal point for networking between stakeholders, especially educational and research institutions, and information collection and dissemination to stakeholders for technology development;

- Develop, with the assistance of Annex II countries, greater awareness and better understanding among decision makers in developing countries of issues related to patents, intellectual property rights and equipment standards and certification.

Suggestions for possible intergovernmental actions

5. The regional workshop participants also formulated a number of suggestions for intergovernmental actions. These actions included the following:

- Establish a separate process under the Convention, apart from initial national communications, for non-Annex I Parties to communicate results of national technology needs assessments, including elaboration of technology priority needs, key barriers, priority programmes and projects;

- Establish a separate process under the Convention, apart from national communications, for Annex I Parties to report on technology transfer activities. While revised guidelines for Annex I national communications were also suggested, several participants noted that the relevant time scales and level of detail may still be insufficient to satisfy all Parties;

- Make better use of existing institutions for the transfer of technologies - UNDP, UNIDO, other multilateral institutions, bilateral institutions, etc.;

- Establish a process for multilateral coordination of donor assistance to target the priority needs of developing countries;

- Consider establishing a system to assist with the comparison of various ESTs. Such a system could include the development of performance ratings and technology performance standards;

- Establish a technology information clearing house to facilitate technology information collection, analysis, and dissemination;

- Develop international technology demonstration centres to demonstrate and commercialize viable ESTs in developing countries;

- Measuring the achievements of technology transfer actions was recognized as desirable, but it was clearly recognized that the development of specific indicators for gauging

progress would require further study and work. However, voluntary industry reporting of project activities and best practices should be encouraged;

- A range of other possible future activities to be undertaken by the UNFCCC secretariat, which would include:

  - Collecting, synthesizing and disseminating information on case studies, best practices, innovative technology transfer approaches, and practical technology transfer experiences;

  - Compiling technology performance standards;

  - Identifying and developing inventories of publicly-owned technologies;

  - Synthesizing and assessing information on emerging technologies;

  - Maintaining a register (database) of technology transfer projects.

Annex II

SYNTHESIS OF SUBMISSIONS BY PARTIES ON HOW ISSUES AND QUESTIONS LISTED IN THE ANNEX TO DECISION 4/CP.4 SHOULD BE ADDRESSED

1. At its tenth session, the SBSTA invited Parties to provide submissions to the secretariat by 30 November 1999, on how the issues and questions in the annex to decision 4/CP.4 should be addressed. It requested the Chairman, with the assistance of the secretariat to identify common elements and areas of divergence based on these submissions (FCCC/SBSTA/1999/6, paragraph 69 (b)).

2. This annex compiles and synthesizes common elements and areas of divergence based on the 15 submissions contained in documents FCCC/SBSTA/1999/MISC.5 and Add 1-3, and FCCC/SBSTA/2000/MISC.1).

3. To facilitate the identification of common elements and areas of divergence in the submissions, the compilation and synthesis is presented in terms of the following five questions:

- What mechanisms are appropriate for technology transfer under the Convention?
- What actions should different stakeholders take to enhance implementation of Article 4.5?
- What capacities and information do different technology transfer stakeholders need?
- Who owns technology?
- Can Parties set technology transfer goals and track progress?

4. In each case, these questions are taken from, or closely relate to, specific questions listed in the annex to decision 4/CP.4. All responses to each of the questions listed in decision 4/CP.4 have been taken into account within the above framework.

1. What mechanisms are appropriate for technology transfer under the Convention?

5. Most Parties expressed support for existing mechanisms or for the Kyoto Protocol flexibility mechanisms under discussion. Developed country Parties stressed the strategies employed in their own bilateral assistance programmes that are relevant to climate. Divergence exists on the adequacy of existing mechanisms, on the roles of the private sector and the Global Environment Facility (GEF), and on concessional versus commercial financing of technology transfer. Parties also proposed a variety of mechanisms related to information collection, synthesis, and dissemination. Other institutions were also proposed, such as clearing houses and centres of expertise.

6. Are existing mechanisms adequate? All four non-Annex I Parties said no. Seven Annex I Parties said yes - although some emphasized the need for improved interlinkages and coordination among different donors, and the need for identifying and correcting deficiencies in existing mechanisms. Two Annex II Parties supported the GEF as the primary means of meeting

Annex II Party technology transfer financing obligations under the Convention, while two others cautioned that the GEF is only one of several mechanisms.

7. The importance of the private sector for providing the bulk of technology transfers was stressed by Annex I Parties. Conversely, non-Annex I Parties responded that the private sector is but one of many mechanisms. One non-Annex I Party drew an even narrower scope for the private sector *in the context of the Convention* by pointing out Article 11.1 of the Convention, which defines a mechanism for technology transfer, on a grant or concessional basis - namely on non-commercial terms.

8. Two non-Annex I Parties suggested new mechanisms for technology transfer. China proposed a mechanism with five types of interlinked institutions: national technology transfer agencies for Annex II Parties and also for non-Annex I Parties; an intergovernmental technology advisory panel; a trust fund for technology transfer; and a unit in the UNFCCC secretariat to oversee the mechanism. South Africa proposed that non-Annex I countries create national strategies for development and transfer of technologies, including generic identification of technologies, national technology needs assessments and prioritization, and conducive policy environments.

9. Several developed country Parties highlighted specific "flagship" approaches they are using to promote technology transfer. For example, the United States said its TCAPP programme was an effective model for technology transfer under the Convention because it is country-driven, facilitates private investment, coordinates donor programmes, and engages senior climate and energy officials. Norway stressed the experience from 15 UNIDO-UNEP cleaner production centres in 12 developing countries and 3 countries in transition. Japan discussed its Kyoto initiative for capacity-building, concessional finance and technology transfers. A variety of other existing initiatives from the United States, Japan and South Africa offering experience relevant to technology transfer mechanisms were also mentioned.

10. Four Parties mentioned and were supportive of the IEA Climate Technology Initiative (CTI). CTI primary focus areas are: (1) capacity-building; (2) technology assessment, analysis and strategy; and (3) research and development. Specific activities stressing near-term results include: technology training courses; joint seminars with industry on technology diffusion; and the development of technology implementation plans that develop, through "bottom-up" participatory processes, sector-specific technologies and practices consistent with development goals.

11. Parties expressed a common desire for a technology information dissemination system and for collection, synthesis and dissemination of experiences, lessons learned, and best practices. Information should be specific, case-study oriented, and targeted to real-world problems with lessons learned. Parties also stressed the need to improve existing information centres and networks, but only after evaluating their performance. Parties supported the idea of a clearing house under either the UNFCCC secretariat or an existing information centre.

Barriers to technology transfer

12. Parties provided long lists of barriers to technology transfer. Four Parties referred to the technical paper on terms of transfer of technology and know-how (FCCC/TP/1998/1) and suggested it be used as the basis for further work on barriers and measures. They echoed the conclusions of this paper that barriers vary from country to country, are specific to particular technology applications, and require a variety of policies in combination to remove them, including policy reform, institutional strengthening, capacity-building, information dissemination, technology assessment, technology demonstration and research. One Party said that the SBSTA should identify gaps in this study.

13. Norway took a demand approach and said that the two main barriers are a lack of policy instruments that would increase demand for ESTs and the lack of institutional capacity to put these instruments in place. The main ways to remove barriers, in Norway's view, are to transfer experience through institutional cooperation (i.e. twinning), establishing regulatory frameworks, strengthening government institutions, and capacity-building (of plant-level personnel).

14. The European Union (EU) said that the barriers deserving the most attention were insufficient local capacity to adequately absorb and manage imported technology, the lack of an adequate policy framework capable of giving incentives for long-term private sector involvement in environmentally-sound technologies, and social and cultural barriers.

2. What actions should different stakeholders take to enhance implementation of Article 4.5?

15. UNFCCC secretariat. A common response was that the UNFCCC secretariat should collect and disseminate information, particularly case stu[illegible] on innovative technology cooperation approaches, best practices, and practical exp[illegible]ce and lessons. Parties also recommended that the secretariat collect, synthesize and [illegible]eminate information on sector-specific technology applications, including performance standards ("benchmarks") and economic and managerial parameters. The private sector should contribute to the secretariat's information database.

16. Other suggestions for secretariat activities included:

- Conducting technology assessments (including financial analysis);
- Researching technology applications;
- Identifying publicly-owned technologies (with near-commercial potential;.
- Synthesizing and assessing information on emerging technologies (building on current technical papers on coastal zone and other adaptation technologies);
- Using experts from the SBSTA roster of experts to provide expertise to Parties;
- Implementing capacity-building elements of decisions of the Group of G77.

17. Bilateral and multilateral Agencies. A common response was that bilateral and multilateral agencies should emphasize capacity-building. Beyond capacity-building, one Party

said agencies should support preparation and implementation of national technology transfer strategies. Two Parties said that agencies should focus on strengthening environmentally-sound policy frameworks. A divergence of views emerged on whether agencies should undertake specialized climate-technology projects: one Party said no - policy frameworks were most important - while another said yes, provided agencies respond to climate technology needs based on recipient-driven priorities.

18. Global Environment Facility. Parties' responses regarding the GEF showed little commonality, but instead reflected a catalogue of additional suggestions, such as: capacity-building that leads to more enabling environments, support for country-specific technology transfer strategies, outreach on the mechanisms the GEF uses to remove barriers and on emerging experiences and lessons with these mechanisms, and financing and capacity-building for indigenous technology transfer centres.

19. Annex II Parties.[1] Again, Parties' responses provided a catalogue of suggestions, notably that Annex II Parties should describe active bilateral assistance programmes that they consider effective for technology transfer, said Parties. One Party emphasised that Annex II Parties should follow the stipulations of Chapter 34 of Agenda 21,[2] particularly paragraph 34.18, to promote transfer of technologies that are privately owned. It was also suggested that Annex II Parties should create stronger enabling environments for technology transfer in developed countries; enact policies and programmes for the effective transfer of publicly-owned or public-domain technologies, and negotiate with private-sector owners of technologies for intellectual property rights.

20. Other specific suggestions for Annex II Party actions included:

- Creating and enhancing appropriate incentives for private firms;
- Enhancing access to and transfer of patent-protected ESTs;
- Purchasing patents and licences on commercial terms for transfer to developing countries on non-commercial terms;
- Providing financial resources for purchasing ESTs;
- Fostering an enabling environment for technology transfer in developed countries through capacity-building and effective engagement of the private sector;
- Developing, designing and implementing an appropriate mix of instruments for promoting cleaner production, including legislation, financial instruments, information and education;
- Formulating policies and programmes for the effective transfer of publicly-owned or public-domain technologies;
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[1] Some responses referred to Annex I and non-Annex I Parties, others to Annex II and non-Annex II Parties. The distinction between Annex II and non-Annex II is used here to facilitate this summary.

[2] A/CONF.151/26/Rev.1(Vol.I).

- Reviewing subsidy and tax policies and other regulations to determine whether they encourage or impede EST technology transfer;
- Providing a list of ESTs and know-how that are publicly-owned; and
- Negotiating with private-sector owners of technologies for intellectual property rights

21. Non-Annex II Parties. Almost all Parties talked about strengthening *enabling environments*. Views on the important elements of these enabling environments are generally consistent such as policies that promote private sector investment; domestic awareness of technologies; capacities to choose, innovate and adapt technologies; and actively enforced environmental regulations and legal frameworks. Parties acknowledged that the term *enabling environment* does not refer only to the private sector, but to the broader range of parameters that surround technology transfer.

22. Other specific suggestions for non-Annex-II Parties activities included:

- Developing a national technology transfer strategy, including technology needs, feasibility studies, pilot plants required, capacity-building requirements, time-frames, costs, and financing mechanisms;
- Identifying priority technologies and communicating these for joint action by government agencies, the private sector and international donors;
- Taking advantage of assistance currently available for technology transfer through existing mechanisms, especially when concessional finance is unavoidable - World Bank, regional development banks, United Nations, GEF, bilateral aid, clean develoment mechanism, etc;
- Making requests for information from local embassies of Annex II Parties or bilateral or multilateral donors;
- Specifying technology and information needs through their national communications;
- establishing stable macroeconomic and budgetary frameworks and adopting market-oriented policies;
- Reducing trade and investment barriers;
- Rromoting appropriate institutional frameworks for intellectual property rights, banking and customs; and
- Engaging in a "transparent, decentralized and participatory [technology selection] decision making process...to [ensure] that the best choices are made".

3. What capacities and information do different technology transfer stakeholders need?

23. Some Parties noted that capacity-building should be the first step in the technology transfer process because it is a prerequisite for success. They said that capacity-building should cover the whole process - identification of technology needs, personnel training, understanding and know-how, technology choice, design, installation, operation, management, and equipment

production. capacity-building should target a wide range of actors; create lasting relationships, institutions and networks across countries; promote financial support from the private sector; focus on host country institutions and public awareness; and employ case studies as the basis for technical advice.

24. A common response was that Parties need specific information about technologies and successful experiences, such as equipment specifications, suppliers, technical benchmarks, prices, financial parameters, lifetimes, efficiencies, and other data from pilot demonstration projects. Information databases should include quantitative data about economic, environmental and social impacts; costs; ownership; skill and infrastructure requirements; and intellectual property issues. The credibility and quality of information was also stressed by one Party; both technology users and information intermediaries need capacity to distinguish the quality and credibility of information received.

25. The role of the industrial sector was particularly emphasized by one Party, which said that industrial plant managers and operators need training in conducting cleaner production assessments, in which they learn to evaluate the costs and benefits of production process changes and management techniques for cleaner production. Capacity-building for the financial sector and for enforcement of existing environmental regulations is needed for the industrial sector as well.

26. According to another developing country Party, capacity-building should initially be based on specific industrial sectors with specific needs for changing their current technology to environmentally-sound technologies. Various other suggestions for capacity-building activities included:

- Training of personnel from specific public sector departments (environment, industry, etc.) on technology transfer mechanisms so as to prepare them for their role in getting their industries to change to environmentally-sound technologies;
- Assessing of environmental soundness of existing technologies in various sectors/ sub-sectors;
- Organization of awareness workshops and seminars for industry executives and policy makers from developing countries;
- Factory training of technical personnel before dispatch of procured technology;
- On-site training after installation;
- Enhancing business advisory services and technology information for existing companies;
- Training in advanced methods and practices (e.g., in agriculture, forestry, renewable energy, coastal adaptation technologies);
- Training and equipment for research and development institutions;
- Targeting a wide range of actors, including members of the regulatory, financial, technical, business and non-governmental organization communities;

- Creating lasting relationships, institutions and networks between and across countries, along with meaningful financial support by the private sector;
- Focusing on host country institutions and public awareness, and training indigenous staff; and
- Employing case studies as the basis for technical advice.

4. Who owns technology?

27. Several Parties stressed the fact that technology transfer should include both hard and soft technologies and that the UNFCCC definition of technology transfer explicitly includes soft technologies. One Party quoted from Chapter 34 of Agenda 21 when elaborating on the types of technologies to be transferred, including both "hard" and "soft" technologies: "environmentally-sound technologies are not just individual technologies, but total systems which include know-how, procedures, goods and services, and equipment as well as organizational and managerial procedures....[T]he human resources development and local capacity-building aspects of technology choices, including gender-relevant aspects, should also be addressed (Agenda 21, paragraph 34.4)".

28. Parties mentioned several examples of potential public-domain technologies, such as techniques for monitoring and assessment, environmental management, energy conservation, meteorological observation, waste disposal and management, forestry, transport, and agriculture. Soft technologies are more likely to be publicly-owned and transferred, implied one Party.

29. The question of publicly-owned technologies brought perhaps the greatest diversity of responses. One Annex II Party said that limited transfer was possible from publicly funded research and development institutions. But even technologies owned by public research organiyations and universities are commercialized by the private sector at an early stage, said two other Annex II Parties. One also said that transfers of publicly-owned technology are unlikely because that Party's policy is not to compete with the private sector; public technologies are transferred to private companies for marketing. On the other hand, two non-Annex I Parties said that transfer of publicly-owned technologies should be the first priority. Both Parties noted that there has apparently been no follow-up to the recommendations for facilitating transfer of publicly-owned technology that were made by an inter-sessional expert meeting of the Commission on Sustainable Development hosted by the Republic of Korea in Kyong Ju in February 1998.

30. There was also a divergence of views on the origin of transferred technologies. One Party said that the Convention referred to North-South transfer, while another Party said the South-South transfer is critical in the adoption of technologies that are suitable for local conditions and cultures.

5. Can Parties set technology transfer goals and track progress?

31. There was a divergence of views as to whether technology transfer goals could be set. One Party said yes, with full involvement of the private sector. Another Party said no, it was not possible. Another said it was possible, but only at the national level. Two others said it was possible only if sector-specific goals were set or if it was only for publicly-owned technologies. Three Parties felt that monitoring progress was possible and important; one felt it was premature to monitor progress; and another felt that progress could be monitored only with specific but low-level output indicators, such as the number of demonstration projects initiated or number of people trained.

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SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

REPORT OF THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE ON ITS TWELFTH SESSION BONN, 12-16 JUNE 2000

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I. OPENING OF THE SESSION
(Agenda item 1)

9. The twelfth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) was held at the Hotel Maritim, Bonn, Germany from 12 to 16 June 2000.

10. The Chairman of the SBSTA, Mr. Harald Dovland (Norway), opened the session on 12 June 2000. The Chairman welcomed all Parties and Observers to the session. He noted that this twelfth session was an unusual one, as it came after a week of informal meetings and workshops during which in-depth discussions had been held on several issues on the SBSTA agenda. The Chairman remarked that the pre-sessional week had yielded important progress on which the SBSTA should now build in order to pave the way for success at the sixth session of the Conference of the Parties (COP). He emphasized that, for many issues, the aim for the twelfth session of the SBSTA should be to agree on negotiating texts that would prepare the ground for substantive negotiations at the thirteenth sessions of the subsidiary bodies. He concluded by urging Parties to use the limited time available as efficiently as possible.

11. The Executive Secretary conveyed condolences, on behalf of the secretariat, to the delegation of the Syrian Arab Republic for the passing away of President Hafez Al-Assad.

12. The Executive Secretary reported that the Convention had now received a total of 184 instruments of ratification, acceptance, approval or accession, while the number of ratifications or accessions to the Kyoto Protocol had reached 22. He expressed the hope that the informal meetings and workshops held in the pre-sessional week would allow the SBSTA to make significant progress during its twelfth session. He invited feedback from delegates on the organization of the pre-sessional week, which the secretariat would take into consideration when planning the next one, prior to the thirteenth sessions of the subsidiary bodies.

13. A statement was made by the representative of a Party, speaking on behalf of the Group of 77 and China, echoing the Executive Secretary's condolences to the delegation of the Syrian Arab Republic.

14. At the 2nd meeting, held jointly with the Subsidiary Body for Implementation (SBI) on 12 June, general statements were made by representatives of four Parties, including one speaking on behalf of the Group of 77 and China. The chairmen of the subsidiary bodies recalled that informal meetings had been held during the pre-sessional week on joint agenda items, as well as on capacity-building and cross-cutting issues.

II. ORGANIZATIONAL MATTERS
(Agenda item 2)

A. Adoption of the agenda
(Agenda item 2 (a))

15. At its 1st meeting, on 12 June, the SBSTA considered the provisional agenda contained in document FCCC/SBSTA/2000/1.

16. The SBSTA adopted the following agenda:

1. Opening of the session.

2. Organizational matters:

   (a) Adoption of the agenda;
   (b) Organization of the work of the session.

3. Implementation of Article 4.8 and 4.9 of the Convention (decision 3/CP.3 and Articles 2.3 and 3.14 of the Kyoto Protocol).

4. Matters relating to Article 3.14 of the Kyoto Protocol.

5. Procedures and mechanisms relating to compliance under the Kyoto Protocol.

6. Mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol.

7. "Best practices" in policies and measures among Parties included in Annex I to the Convention.

8. Methodological issues:

   (a) Land-use, land-use change and forestry;
   (b) Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol;
   (c) Good practice guidance and uncertainty management in national greenhouse gas inventories;
   (d) Methods and tools to evaluate impacts and adaptation;
   (e) Other matters.

9. Development and transfer of technologies:

   (a) Status of the consultative process (decision 4/CP.4);
   (b) Other matters.

10. Cooperation with relevant international organizations.

11. Other matters.

12. Report on the session.

B. Organization of the work of the session
(Agenda item 2 (b))

17. The SBSTA considered this sub-item at its 1st meeting, on 12 June. It had before it the tentative schedule of meetings contained in document FCCC/SBSTA/2000/1, annex III. The Chairman noted that the schedule of meetings should be used as a guide to the organization of work of the SBSTA, but that flexibility would be required to respond to the pace of progress.

III. IMPLEMENTATION OF ARTICLE 4.8 AND 4.9 OF THE CONVENTION (DECISION 3/CP.3 AND ARTICLES 2.3 AND 3.14 OF THE KYOTO PROTOCOL)
(Agenda item 3)

MATTERS RELATING TO ARTICLE 3.14 OF THE KYOTO PROTOCOL
(Agenda item 4)

1. Proceedings

18. The SBSTA considered these items together at its 2nd and 6th meetings, held jointly with the SBI on 12 and 16 June, respectively. It had before it document FCCC/SB/2000/2.

19. Statements were made by representatives of 33 Parties, including one speaking on behalf of the African group, one speaking on behalf of the Alliance of Small Island States, one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

20. At the 2nd meeting, held jointly with the SBI on 12 June, the Chairman of the SBSTA provided a report on the outcome of the workshops mandated by decision 12/CP.5[1] on these items, which were held in Bonn from 9 to 11 March and from 13 to 15 March 2000. Mr. Bo Kjellen (Sweden) and Mr. Mohamad Reza Salamat (Islamic Republic of Iran), Vice-Chairman of the SBI, provided a report on the informal meetings relating to these items, which they had chaired during the pre-sessional week at the request of the chairmen of the subsidiary bodies. The subsidiary bodies agreed to consider these items by way of a joint contact group. The chairmen appointed Mr. Kjellen and Mr. Salamat to co-chair this contact group.

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[1] For the full texts of decisions adopted by the Conference of the Parties at its fifth session, see document FCCC/CP/1999/6/Add.1.

21. The discussions in the contact group covered a wide range of issues and enabled a better understanding of the specific needs and concerns of developing country Parties arising from the adverse effects of climate change and the impact of the implementation of response measures, under Article 4.8 and 4.9 of the Convention. The same contact group also discussed matters related to Article 3.14 of the Kyoto Protocol.

22. The discussions greatly benefited from the report on the two workshops mentioned in paragraph 12 above. In the course of the discussions, delegations were invited to provide inputs. Subsequently, the co-chairs of the contact group presented a consolidated text, based on the discussions, the inputs and the report of the workshops mentioned in paragraph 12 above. In ensuing sessions there were further discussions on the consolidated text.

2. Conclusions

23. At its 6th meeting, held jointly with the SBI on 16 June, having considered a proposal by the chairmen, the SBSTA and the SBI adopted the following conclusions:

(a) The subsidiary bodies considered the report on the two workshops held in Bonn from 9 to 11 March and from 13 to 15 March 2000, and contained in document FCCC/SB/2000/2, and acknowledged the importance of the information provided in the workshops as a valuable input to the work relating to the implementation of Article 4.8 and 4.9 of the Convention, as well as to Articles 2.3 and 3.14 of the Kyoto Protocol;

(b) The subsidiary bodies noted the progress made on addressing the implementation of Article 4.8 and 4.9 of the Convention;

(c) The subsidiary bodies also noted that discussion had commenced on matters relating to Article 3.14 of the Kyoto Protocol;

(d) The subsidiary bodies agreed to forward to their thirteenth sessions the note by the chairmen of the subsidiary bodies (FCCC/SB/2000/5) containing a consolidated text and other inputs from Parties;

(e) The subsidiary bodies invited their chairmen, with the assistance of the secretariat, to develop a text on these issues, on the basis of the consolidated text and other inputs from Parties, as well as comments made in the course of the discussions, to serve as a basis for negotiation at the thirteenth sessions of the subsidiary bodies.

IV. PROCEDURES AND MECHANISMS RELATING TO COMPLIANCE UNDER THE KYOTO PROTOCOL

(Agenda item 5)

1. Proceedings

24. The SBSTA considered this item at its 2nd and 6th meetings, held jointly with the SBI, on 12 and 16 June respectively. It had before it the following documents: FCCC/SB/2000/1 and FCCC/SB/2000/MISC.2 and Corr.1.

25. At the joint meeting on 12 June, Mr. Tuiloma Neroni Slade (Samoa) provided a report on the informal meetings relating to this item, which he had chaired during the pre-sessional week together with Mr. Harald Dovland (Norway), Chairman of the SBSTA, at the request of the chairmen of the subsidiary bodies. The chairmen referred discussion of this item to the Joint Working Group on Compliance (JWG) established by decision 8/CP.4,[2] under the co-chairmanship of Mr. Dovland and Mr. Slade.

26. At the joint meeting on 16 June, Mr. Slade presented the report of the JWG on its work during the twelfth sessions of the subsidiary bodies (FCCC/SB/2000/CRP.3/Rev.1).

2. Conclusions

27. At the joint meeting on 16 June, the SBSTA and the SBI took note of the report of the JWG, and agreed that it would be annexed to the report of the SBI (see FCCC/SBI/2000/5, annex III).

V. MECHANISMS PURSUANT TO ARTICLES 6, 12 AND 17 OF THE KYOTO PROTOCOL

(Agenda item 6)

1. Proceedings

28. The SBSTA considered this item at its 2nd and 6th meetings, held jointly with the SBI on 12 and 16 June respectively. It had before it the following documents: FCCC/SB/2000/3 and FCCC/SB/2000/MISC.1 and Add.1-2.

29. Statements were made by representatives of 11 Parties, including one speaking on behalf of the Eastern European group, one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

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[2] For the full texts of decisions adopted by the Conference of the Parties at its fourth session, see document FCCC/CP/1998/16/Add.1.

30. At the joint meeting on 12 June, a report was provided by Mr. Kok Kee Chow (Malaysia) on the workshop he had chaired relating to this item in the pre-sessional week, at the request of the chairmen of the subsidiary bodies. The subsidiary bodies agreed to consider this item by way of a joint contact group, chaired by Mr. Chow.

2. Conclusions

31. At the joint meeting on 16 June, having considered a proposal by the chairmen, the subsidiary bodies adopted the following conclusions:

(a) The subsidiary bodies considered the note by the chairmen contained in document FCCC/SB/2000/3, submissions by Parties contained in document FCCC/SB/2000/MISC.1 and Add.1-2 and the informal note by the Chairman of the workshop on mechanisms (Bonn, 5-8 June 2000);

(b) The subsidiary bodies noted the progress made in implementing the work programme on mechanisms contained in decision 7/CP.4;

(c) The subsidiary bodies, recalling decision 14/CP.5, agreed to forward to the thirteenth sessions of the subsidiary bodies the note by the chairmen of the subsidiary bodies contained in document FCCC/SB/2000/4, entitled "Consolidated text on principles, modalities, rules and guidelines", as a basis for further negotiations on mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol, with priority given to the clean development mechanism, and with a view to the COP taking decisions on all the mechanisms under Articles 6, 12 and 17 of the Kyoto Protocol at its sixth session, including, where appropriate, recommendations to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its first session;

(d) The subsidiary bodies urged Parties, if they wish to make additional submissions, to do so in succinct, legal language and directly related to the text in document FCCC/SB/2000/4, by 1 August 2000, for inclusion in a miscellaneous document to be issued before the thirteenth sessions of the subsidiary bodies. Submissions received later would be issued at the thirteenth sessions.

VI. "BEST PRACTICES" IN POLICIES AND MEASURES AMONG PARTIES INCLUDED IN ANNEX I TO THE CONVENTION
(Agenda item 7)

1. Proceedings

32. The SBSTA considered this item at its 4th and 7th meetings, on 13 and 16 June respectively. It had before it document FCCC/SBSTA/2000/2.

33. Statements were made by representatives of 13 Parties, including one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

34. At the 4th meeting, on 13 June, the Chairman reported on informal meetings that he had chaired relating to this item during the pre-sessional week. The Chairman invited Mr. José Romero (Switzerland) to assist him in conducting informal consultations on this item.

2. Conclusions

35. At its 7th meeting, on 16 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA took note of the Chairman's report (FCCC/SBSTA/2000/2) on the workshop on "best practices" in policies and measures, held in Copenhagen from 11 to 13 April 2000, requested by decision 8/CP.4, and expressed appreciation to the Governments of Denmark and France for sponsoring this workshop; and

(b) The SBSTA concluded that the workshop had helped Parties to advance the work on sharing experience and the exchange of information regarding "good practices" in policies and measures related to Article 2.1(b) of the Kyoto Protocol. The SBSTA decided to further consider this issue at its thirteenth session.

VII. METHODOLOGICAL ISSUES
(Agenda item 8)

A. Land-use, land-use change and forestry
(Agenda item 8 (a))

1. Proceedings

36. The SBSTA considered this sub-item at its 1st and 5th meetings, on 12 and 15 June respectively. It had before it document FCCC/SBSTA/2000/3.[3] The SBSTA also had before it the Intergovernmental Panel on Climate Change (IPCC) *Special Report on Land-use, Land-use Change and Forestry*.

37. Statements were made by representatives of 27 Parties, including one speaking on behalf of the African group, one speaking on behalf of the Alliance of Small Island States, one speaking on behalf of the European Community and its member States, and another speaking on behalf of the Group of 77 and China.

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[3] See paragraph 32 (a) below.

38. At the 1st meeting, on 12 June, a statement was made by Dr. Robert Watson, Chairman of the IPCC, introducing the above-mentioned special report. A statement was also made by a representative of the Food and Agriculture Organization of the United Nations (FAO). Mr. Philip Gwage (Uganda) provided a report on the informal meetings relating to this sub-item, which he had co-chaired together with Mr. Halldor Thorgeirsson (Iceland) during the pre-sessional week, at the request of the chairmen of the subsidiary bodies. The SBSTA agreed to consider this sub-item by way of a contact group, co-chaired by Mr. Gwage and Mr. Thorgeirsson.

39. At the 5th meeting, on 15 June, a statement was made by the representative of Italy, offering to host the inter-sessional consultations referred to in subparagraph 32 (h) below.

2. Conclusions

40. At its 5th meeting, on 15 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA took note with appreciation of document FCCC/SBSTA/2000/3. The secretariat was requested to issue a corrigendum to this document to correctly reflect data submitted by New Zealand;

(b) The SBSTA expressed its appreciation to the IPCC for the preparation of the *Special Report on Land-Use, Land-Use Change and Forestry*, for the IPCC special side event on the report, and for the input of the IPCC authors during the pre-sessional week of informal meetings. It requested the secretariat to explore, in collaboration with the IPCC, the possibility of organizing a special briefing on Sunday, 9 July 2000 for non-Annex I Parties participating in the SBSTA workshop in Poznan, Poland;

(c) With reference to the request made by the SBSTA at its eleventh session for submissions on additional activities under Article 3.4 (FCCC/SBSTA/1999/14, para. 46 (f) and (i)), having given initial consideration to criteria and guiding principles put forward by Parties, the SBSTA further requested Parties to indicate how the proposed additional activities relate to the objective and principles of the Convention and its Kyoto Protocol;

(d) The SBSTA agreed to a format for the submission of the country-specific data and information by Annex I Parties (see annex II to this report) called for by the SBSTA at its eleventh session (FCCC/SBSTA/1999/14, para. 46 (g), (h), (i), (j)). It requested Parties to provide their submissions no later than the deadline of 1 August 2000. The formats, and the data and information that will be submitted, by no means prejudge decisions or conclusions that may be made by either the COP or the SBSTA at future sessions. In their submissions, Annex I Parties should complete those portions of tables I and III that directly relate to their preferred proposals. Furthermore, Annex I Parties may provide data and information in relation to other options using tables I and III. The SBSTA decided to consider this data and information at its thirteenth session, in the light of document FCCC/SBSTA/1999/14, paragraph 46 (g), (i) and (k);

(e) The SBSTA requested Parties, in preparing the above-mentioned submissions, to provide textual proposals on Article 3.3, 3.4 and 3.7, and explanatory material to provide the context and rationale of these textual proposals. It invited Parties to take into consideration the guidance given to the Chairman, under subparagraph 32 (f) below, in preparing their submissions;

(f) Considering decision 16/CP.5, the SBSTA requested the Chairman to prepare, with the help of the secretariat, a consolidated synthesis of textual proposals from the above-mentioned submissions, for consideration by Parties at its thirteenth session. This synthesis would be structured according to the elements outlined below:

(i) Proposed definitions and accounting approaches related to afforestation, reforestation and deforestation under Article 3.3;

(ii) How and which additional human-induced activities might be included under Article 3.4, including modalities, rules and guidelines related to these activities and their accounting;

(iii) Methodologies for measuring and reporting in relation to Article 3.3 and 3.4 activities;

(iv) Overall accounting approaches in relation to requirements of Article 3.3, 3.4 and 3.7 and regarding, *inter alia*, reversibility, natural effects, and accounting interlinkages;

(v) Other;

(g) The SBSTA encouraged the organization of regional workshops to enhance participation in future land-use, land-use change and forestry meetings;

(h) The SBSTA invited the Chairman to convene an inter-sessional consultation after its thirteenth session (11-15 September 2000) to assist in undertaking preparatory work for consideration by the COP at its sixth session in relation to decision 16/CP.5, taking into account the need for transparency and regional balance in representation at that meeting;

(i) The SBSTA noted the circumstances surrounding the issues of land-use, land-use change and forestry, particularly the recent availability of the IPCC Special Report and the deadline for submissions on 1 August 2000. The SBSTA recognized that documents for the next sessions may only be available immediately prior to the sessions. It urged Parties to accelerate their consideration of the issue, including the IPCC report, and requested the Chairman to consult widely on the issue.

B. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol

(Agenda item 8 (b))

1. Proceedings

41. The SBSTA considered this sub-item at its 1st and 5th meetings, on 12 and 15 June respectively. It had before it the following documents: FCCC/SBSTA/2000/INF.3, FCCC/SBSTA/2000/INF.5 and Add.1-2, FCCC/SBSTA/2000/INF.7, FCCC/TP/2000/1 and FCCC/SBSTA/2000/MISC.1 and Add.1.

42. Statements were made by representatives of five Parties, including one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

43. At the 1st meeting, on 12 June, a report was provided by Mr. Newton Paciornik (Brazil) on the informal meetings relating to this issue, which he had co-chaired with Ms Helen Plume (New Zealand) during the pre-sessional week, at the request of the chairmen of the subsidiary bodies. The SBSTA agreed to consider this sub-item by way of a contact group co-chaired by Mr. Paciornik and Ms Plume.

2. Conclusions

44. At its 5th meeting, on 15 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA agreed upon guidelines for national systems for the estimation of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol under Article 5.1 of the Kyoto Protocol (see annex I below), and decided to prepare, at its thirteenth session, a draft decision on this issue to be recommended for adoption by the COP at its sixth session;

(b) The SBSTA recalled the provisions of Article 5.1 of the Kyoto Protocol, which state that each Party included in Annex I shall have in place a national system, no later than one year prior to the start of the first commitment period. The SBSTA advised the SBI to encourage Annex I Parties to establish national systems in accordance with the guidelines under Article 5.1 as soon as possible, with the aim of gaining early experience with their implementation. The SBSTA may consider the possible future revision of these guidelines in accordance with the provision of paragraph 18 of these guidelines and taking into account the relevant experience of Parties;

(c) The SBSTA agreed to consider, at its thirteenth session, guidelines for the preparation of the information required under Article 7 of the Kyoto Protocol, taking into account information contained in document FCCC/SBSTA/2000/INF.5/Add.2 and the views of Parties;

with the aim of recommending such guidelines for adoption by the COP, at its sixth session. The SBSTA recognized that some elements of these guidelines will be further elaborated at a later stage;

(d) The SBSTA requested the secretariat to prepare draft guidelines, for consideration by the SBSTA at its thirteenth session, for the review process under Article 8 of the Kyoto Protocol, taking into account the report of the workshop on methodological issues related to Articles 5, 7 and 8 of the Kyoto Protocol, held in Bonn from 14 to16 March 2000, contained in document FCCC/SBSTA/2000/INF.5 and Add.2, submissions by Parties and issues raised by Parties during the twelfth session of the SBSTA, including elements of draft guidelines as elaborated by Parties. The SBSTA made this request with the aim of recommending the adoption of guidelines for the review process under Article 8 of the Kyoto Protocol by the COP at its sixth session. The SBSTA recognized that some elements of these guidelines will be further elaborated at a later stage;

(e) The SBSTA agreed to consider, at its thirteenth session, the information related to methodologies for adjustments contained in document FCCC/SBSTA/2000/INF.5/Add.2, and the views of Parties, with the aim of recommending a decision on initial guidance on these methodologies by the COP at its sixth session and initiating a process for further elaborating these methodologies at a later stage. Parties are invited to consider what further methodological work is needed and how such work should proceed, including whether the SBSTA should invite the IPCC National Greenhouse Gas Inventory Programme to develop methods for adjustments;

(f) The SBSTA invited Parties to consider, at its thirteenth session, when the guidelines and guidance to be adopted by the COP at its sixth session, as mentioned in subparagraphs 36 (c) to (e) above, should be further elaborated and compiled. In doing so, Parties are invited to take into account the expected outcome of discussions by Parties on mechanisms under the Kyoto Protocol, compliance, land-use, land-use change and forestry, the results of the trial period for the technical review of greenhouse gas inventories from Annex I Parties in accordance with decision 6/CP.5, and the possible input of the IPCC, as mentioned in subparagraph 36 (e) above;

(g) The SBSTA took note of the information on some aspects related to modalities of accounting for assigned amounts contained in document FCCC/SBSTA/2000/INF.7 and invited Parties to address, at its thirteenth session, the issues raised in this document, including the review of the base year inventories and whether a decision should be taken by the COP, at its sixth session, on this issue. The SBSTA also invited Parties to consider, at its thirteenth session, other aspects of modalities of accounting for assigned amounts;

(h) The SBSTA invited Parties to submit, by 1 August 2000, comments on issues related to Articles 5, 7 and 8, particularly on those issues mentioned in subparagraphs 36 (c) to (g) above. It requested the secretariat to compile these views into a miscellaneous document.

C. Good practice guidance and uncertainty management in national greenhouse gas inventories

(Agenda item 8 (c))

1. Proceedings

45. The SBSTA considered this sub-item at its 1st and 5th meetings, on 12 and 15 June respectively. It had before it the IPCC report, *Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories*.

46. Statements were made by representatives of 13 Parties, including one speaking on behalf of the European Community and its member States.

47. At the 1st meeting, on 12 June, a statement was made by the Co-Chairman of the IPCC Task Force on National Greenhouse Gas Inventories, on behalf of the Chairman of the IPCC, introducing the above-mentioned report.

2. Conclusions

48. At its 5th meeting, on 15 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA commended the IPCC on its report entitled *Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories* (referred to below as good practice guidance) prepared in response to the request of the SBSTA at its eighth session (FCCC/SBSTA/1998/6, para. 40 (e)). Good practice guidance will assist in preparing higher-quality greenhouse gas inventories in which uncertainties are reduced as far as practicable. Good practice guidance will also support the development of inventories that are transparent, consistent, complete, comparable and accurate;

(b) The SBSTA endorsed the good practice guidance as an elaboration of the *Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories* and recommended its use in the preparation of national GHG inventories;

(c) The SBSTA concluded that the good practice guidance should be applied by Annex I Parties to the extent possible for inventories due in 2001 and 2002 and should be used for inventories due in 2003 and beyond. Annex I Parties with economies in transition may phase in the good practice guidance two years later than other Annex I Parties;

(d) The SBSTA encouraged non-Annex I Parties to apply good practice guidance, as appropriate and to the extent possible, in the preparation of their GHG inventories. The SBSTA recognized that applying good practice guidance could assist these Parties in developing inventories that better reflect their national circumstances;

(e) The SBSTA invited Annex I Parties to submit information on their experience with using the good practice guidance in preparing their 2001 inventory submission by 15 August 2001, to be considered by the SBSTA at its fifteenth session;

(f) The SBSTA requested the secretariat, in its report to the SBSTA at its fifteenth session on the UNFCCC reporting guidelines on annual inventories, to consider whether any modifications to these guidelines are needed to reflect the good practice guidance;

(g) The SBSTA requested the secretariat, in its report on the technical review trial period in accordance with decision 6/CP.5, to consider the experience and views of Parties with respect to the review of information relating to good practice guidance;

(h) The SBSTA noted that the good practice guidance does not include specific guidance for the land-use change and forestry sector. The SBSTA invited the IPCC to include good practice guidance for that sector in its workplan to be developed following the invitation of the SBSTA at its tenth session (FCCC/SBSTA/1999/6, para. 41 (e));

(i) The SBSTA requested the secretariat, in consultation with the IPCC, to work with other organizations to encourage the translation and wide dissemination of the good practice guidance by appropriate means, particularly among Annex I Parties with economies in transition and non-Annex I Parties. The SBSTA recommended that the good practice guidance should be included as an element in relevant capacity-building activities, particularly of United Nations organizations.

D. Methods and tools to evaluate impacts and adaptation
(Agenda item 8 (d))

1. Proceedings

49. The SBSTA considered this sub-item at its 4th and 7th meetings, on 13 and 16 June respectively. It had before it the following documents: FCCC/SBSTA/2000/INF.4 and FCCC/SBSTA/2000/MISC.5.

50. Statements were made by representatives of 11 Parties, including one speaking on behalf of the Alliance of Small Island States and one speaking on behalf of the European Community and its member States.

2. Conclusions

51. At its 7th meeting, on 16 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA took note of the information provided by the secretariat on the progress made in collecting and disseminating information on the methods and tools to assess climate change impacts and adaptation (FCCC/SBSTA/2000/INF.4). It encouraged the secretariat to continue its work, and noted that further action is needed to improve the quality of information, and to enhance the capability of developing country Parties to make the best use of available methods and tools;

(b) The SBSTA requested the secretariat, in coordination with the IPCC, to organize a meeting of experts to explore:

(i) Options to improve the compilation and review, and to facilitate the dissemination, of information on methodologies, including development of an extended compendium of methods and tools;

(ii) The feasibility of a joint workshop on impacts and adaptation methodologies after the Working Group II Third Assessment Report of the IPCC is approved/accepted.

(c) The SBSTA invited the secretariat to provide information on the results of the expert meeting mentioned in subparagraph 43 (b) above, if possible, at its thirteenth session;

(d) The SBSTA requested the secretariat to prepare a report for its fourteenth session on methodological issues regarding climate change impacts and adaptation as related to the UNFCCC, taking into consideration information provided in the above-mentioned Third Assessment Report of the IPCC;

(e) The SBSTA noted that exchange of information and the ability to apply impact and adaptation methods is linked to the issue of capacity-building in vulnerability and adaptation assessment. The SBSTA invited Parties to consider needs and options related to capacity-building in the area of methodologies for impacts and adaptation, as an element of a draft framework for capacity-building activities, in accordance with decisions 10/CP.5 and 11/CP.5.

E. Other matters
(Agenda item 8 (e))

1. Proceedings

52. The SBSTA considered this sub-item at its 4th meeting, on 13 June.

53. The Chairman noted that a matter requiring the attention of the SBSTA under this agenda sub-item was the question of emissions resulting from fuel used for international transportation,

in particular cooperation with the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO).

54. The secretariat made a statement indicating that the UNFCCC has been admitted as an observer to the meetings of the Committee on Aviation Environment Protection of ICAO and that it is being invited to, and is participating in, relevant meetings of IMO. Written reports from ICAO and IMO were made available to the SBSTA.

2. Conclusions

55. The SBSTA took note of the information provided by the secretariat regarding emissions resulting from fuel used for international transportation, in particular cooperation with ICAO and IMO. The SBSTA took note with appreciation of written progress reports provided by ICAO and IMO on their activities regarding greenhouse gas emissions from aviation and shipping.

VIII. DEVELOPMENT AND TRANSFER OF TECHNOLOGIES
(Agenda item 9)

A. Status of the consultative process (decision 4/CP.4)
(Agenda item 9 (a))

1. Proceedings

56. The SBSTA considered this sub-item at its 3rd and 5th meetings, on 13 and15 June respectively. It had before it the following documents: FCCC/SBSTA/2000/4, FCCC/SBSTA/2000/INF.2, FCCC/SBSTA/2000/INF.6 and FCCC/SB/2000/MISC.2. The SBSTA also had before it the IPCC *Special Report on Methodological and Technological Issues in Technology Transfer*.

57. Statements were made by representatives of 17 Parties, including one speaking on behalf of the Alliance of Small Island States, one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China.

58. At the 3rd meeting, on 13 June, the Co-Chair of IPCC Working Group III made a statement introducing the above-mentioned special report. A representative of the Climate Technology Initiative of the International Energy Agency also made a statement. The Chairman of the SBSTA provided a report on informal meetings that he had convened relating to this sub-item during the pre-sessional week. The Chairman announced his intention to continue the meetings of the previously established informal group of "Friends of the Chair" in order to advance the consultative process. He also informed the SBSTA of his intention to convene a contact group on the development and transfer of technologies, at the thirteenth session.

59. At the 5th meeting, on 15 June, the Chairman informed the SBSTA that he had consulted with a number of Parties and agreed to invite Mr. Oladapo Afolabi (Nigeria) and Ms Jean Cooper (Canada) to co-chair the contact group. He stated that he looked forward to working with the co-chairs in preparation for, and at, the thirteenth session.

2. Conclusions

60. At its 5th meeting, on 15 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA noted with appreciation the successful completion of the three regional workshops on the transfer of technology consultative process and the large and diverse number of ideas they generated, as contained in the workshop reports (FCCC/SBSTA/1999/11, FCCC/SBSTA/2000/INF.2, FCCC/SBSTA/2000/INF.6) and as summarized in the note by the Chairman on possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (FCCC/SBSTA/2000/4);

(b) The SBSTA noted the excellent assistance provided by the governments of the United Republic of Tanzania, the Philippines and El Salvador in hosting each regional workshop; the financial contributions and/or in-kind support by the Governments of Australia, Austria, Canada, Finland, France, Germany, Japan, the Netherlands and the United States of America; and the useful inputs from the two regional joint industry seminars organized by the Climate Technology Initiative, in cooperation with the secretariat, in Asia and the Pacific and Latin America and the Caribbean;

(c) The SBSTA noted the statement made by the Co-Chair of Working Group III of the IPCC and welcomed the publication of the IPCC *Special Report on Methodological and Technological Issues in Technology Transfer;*

(d) The SBSTA invited the Parties to submit their views, by 30 June 2000, on a framework for implementation of meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention. That invitation replaced the earlier invitation, made at the eleventh session, for submission by 15 July 2000 (FCCC/SBSTA/1999/14, para. 75 (i));

(e) The SBSTA recalled its request to the Chairman, made during the eleventh session, to make available at the thirteenth session of the SBSTA a report on the outcome of the consultative process, incorporating a draft text on a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (FCCC/SBSTA/1999/14, para. 75 (k)). It further requested the Chairman, with the assistance of the secretariat, in preparing such a report, to take into account the information identified in subparagraph 52 (a) above, the submissions from Parties and the IPCC *Special Report on Methodological and Technological Issues in Technology Transfer*;

(f) The SBSTA noted the progress made in the development of the secretariat's technology web pages in cooperation with the Climate Technology Initiative and the Government of the United States. It requested the secretariat to continue with these cooperative efforts and to make further information available on its web site;

(g) The SBSTA noted the progress made by the secretariat on developing a pilot project on a technology cooperation project inventory including both mitigation and adaptation technologies. It requested the secretariat to provide information at its thirteenth session on the resource implications of continuing this work at different levels of effort.

B. Other matters
(Agenda item 9 (b))

1. Proceedings

61. The SBSTA considered this sub-item at its 3rd and 5th meetings, on 13 and 15 June respectively.

62. At the 3rd meeting, on 13 June, a statement was made by the Co-Chair of IPCC Working Group I on the applicability of regional climate models at the scale of small island States.

2. Conclusions

63. At its 5th meeting, on 15 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA noted with appreciation the oral report by the Co-Chair of Working Group I of the IPCC on the applicability of regional climate models at the scale of small island States, and the report made available to the SBSTA by the Hadley Centre for Climate Prediction and Research, United Kingdom, on *Regional Climate Predictions for National Vulnerability Assessments: Capacity-Building in Developing Countries*;[4]

(b) The SBSTA noted that regional models are being developed and applied for use at the scale of small island States and that there is significant potential for the further development and application of such tools in the future. The SBSTA further noted that state-of-the-art regional climate models are critical tools for planning for adaptation to climate change and its effects;

(c) The SBSTA invited the Co-Chairs of Working Group I of the IPCC to make further information available, at its fourteenth session, on the status of regional climate

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[4] Further information and copies of this report can be obtained from gjjenkins@meto.gov.uk.

modelling for different regions of the world, including information on the human and technological capacities necessary to further develop and apply regional climate models, where appropriate.

IX. COOPERATION WITH RELEVANT INTERNATIONAL ORGANIZATIONS
(Agenda item 10)

1. Proceedings

64. The SBSTA considered this item at its 3rd and 7th meetings, on 13 and 16 June respectively.

65. Statements were made by representatives of nine Parties.

66. At the 3rd meeting, on 13 June, statements were made by the Chairman of the IPCC and by the Director of the Global Climate Observing System (GCOS). Statements were also made by representatives of the World Health Organization (WHO), the Ramsar Convention and the United Nations Development Programme (UNDP).

2. Conclusions

67. At its 7th meeting, on 16 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA welcomed the statement made by the Chairman of the IPCC on the status of preparation of the Third Assessment Report and key conclusions from the special report on emission scenarios. It noted the progress made in the preparation of the Third Assessment Report, and expressed appreciation to the IPCC for organizing a number of informative side events and presentations of special reports, as well as for its valuable contribution to the official SBSTA meetings;

(b) The SBSTA urged Parties and organizations in a position to do so to continue their financial support to the IPCC, to enable it to complete the Third Assessment Report in a timely manner. It also urged Parties to ensure the scientific integrity of the IPCC process;

(c) The SBSTA welcomed the report made by the Director of the GCOS secretariat, on behalf of the agencies participating in the Climate Agenda, on progress in responding to decision 5/CP.5 and on recent developments in the global observing systems;

(d) The SBSTA noted the efforts already made by the GCOS secretariat to organize regional workshops in the South Pacific and Africa to identify priority capacity-building needs of developing countries related to their participation in systematic observation. The SBSTA

expressed appreciation to those Parties and organizations which provided support to the workshops;

(e) The SBSTA welcomed the information provided by the GCOS secretariat in response to the invitation contained in decision 5/CP.5, to consider the need for an intergovernmental process for global observing systems. It noted the recommendation that no new intergovernmental mechanism is needed at this time, but that the existing intergovernmental mechanisms, including those available to GCOS and its partners, should be used more efficiently;

(f) The SBSTA invited the GCOS secretariat to report periodically on its activities related to decision 5/CP.5, as well as on developments in the global observing systems for climate at its further sessions. It noted the appeal for additional resources by the GCOS secretariat. The SBSTA urged Parties to contribute financial support to the work of the GCOS secretariat to enable it to continue its activities, in response to decision 5/CP.5;

(g) The SBSTA welcomed the cooperation between the secretariat and United Nations bodies and other conventions. It noted with appreciation the reports by representatives of the WHO, the Ramsar Convention, and the UNDP;

(h) The SBSTA requested the secretariat to continue to explore areas of cooperation on substantive matters with these and other United Nations agencies and conventions, and to inform it at subsequent sessions of progress achieved.

X. OTHER MATTERS
(Agenda item 11)

1. Proceedings

68. The SBSTA considered this item at its 4th and 7th meetings, on 13 and 16 June respectively.

69. At the 4th meeting, on 13 June, the Chairman noted that an issue requiring the attention of the SBSTA under this item was that of education, training and public awareness under Article 6 of the Convention. On this issue, the SBSTA had before it documents FCCC/SBSTA/2000/MISC.3 and Add.1.

70. Statements on education, training and public awareness under Article 6 of the Convention were made by representatives of ten Parties.

71. At the same meeting, the SBSTA heard a report from the secretariat summarizing points made by Parties and including suggestions for possible next steps to advance the implementation

of Article 6 of the Convention. The secretariat also provided the SBSTA with a report on the status of the roster of experts.

2. Conclusions

72. At its 7th meeting, on 16 June, having considered a proposal by the Chairman, the SBSTA adopted the following conclusions:

(a) The SBSTA noted with appreciation that the issue of education, training and public awareness under Article 6 of the Convention had been taken up at the current session. It thanked the secretariat for its report and welcomed its initiative in organizing a side event at this session, aimed at exchanging information among Parties, intergovernmental organizations and non-governmental organizations;

(b) The SBSTA noted that, although activities related to Article 6 are widely recognized as important in implementing Article 6 of the Convention, the issue has so far received little attention from the SBSTA. The SBSTA also noted that work at the national and international levels has already been undertaken by Parties, intergovernmental organizations and non-governmental organizations, and that the lessons learned, including information products, should now be compiled and shared, and priority areas identified. In addition, the SBSTA took note of the submissions by Parties contained in document FCCC/SBSTA/2000/MISC.3 and Add.1;

(c) The SBSTA requested the secretariat to put Article 6 on the agenda of its fourteenth session and, where appropriate, subsequent sessions.

XI. REPORT ON THE SESSION
(Agenda item 12)

73. At its 7th meeting, on 16 June, the SBSTA considered the draft report on its twelfth session (FCCC/SBSTA/2000/L.1).

74. Statements were made by representatives of two Parties concerning the draft conclusions under agenda item 8 (e), relating to emissions resulting from fuel used for international transportation, in particular cooperation with ICAO and IMO.

75. At the same meeting, on a proposal by the Chairman, the SBSTA authorized the Rapporteur, with the assistance of the secretariat, to complete the report on the session, under the guidance of the Chairman.

XII. CLOSURE OF THE SESSION

76. At the final joint meeting of the SBSTA and the SBI, on 16 June, the Chairman of the SBI recalled that informal consultations had been held on capacity-building throughout the session, and that the issue would be on the provisional agenda of the subsidiary bodies for their thirteenth sessions.

77. At the same joint meeting, the chairmen of the subsidiary bodies recalled that at the first joint meeting on 12 June, Burkina Faso, supported by many other countries, had called for the subsidiary bodies to formally express sympathy and solidarity with the Government and peoples of southern Africa, particularly with Mozambique, where a cyclone had brought devastation and great loss of life. In response to this call, and having considered a proposal by the chairmen, the subsidiary bodies recommended a draft resolution on solidarity with southern African countries, particularly with Mozambique, to the Conference of the Parties for adoption at its sixth session (see FCCC/SBI/2000/5, annex II). The chairmen of the subsidiary bodies urged Parties to give immediate effect to the provisions of the draft resolution, including the call for technical and financial assistance to affected countries, pending its formal adoption.

78. On the adoption of the recommendation of the draft resolution, a statement was made by the representative of Mozambique thanking the subsidiary bodies for their expression of solidarity.

79. At the same joint meeting, closing statements were made by representatives of 17 Parties, including one speaking on behalf of the African group, one speaking on behalf of the Alliance of Small Island States, one speaking on behalf of the European Community and its member States and one speaking on behalf of the Group of 77 and China. The Chairman of the SBI provided information to the subsidiary bodies on the schedule for inter-sessional work prior to COP 6.

80. At the 7th meeting of the SBSTA, on 16 June, a closing statement was made by the representative of a Party.

Annex I

GUIDELINES FOR NATIONAL SYSTEMS FOR THE ESTIMATION OF ANTHROPOGENIC GREENHOUSE GAS EMISSIONS BY SOURCES AND REMOVALS BY SINKS UNDER ARTICLE 5.1 OF THE KYOTO PROTOCOL[1]

I. APPLICABILITY

1. The application of these provisions is mandatory, except for those expressed in non-mandatory language. Parties' implementation of national system requirements may differ according to national circumstances, but shall include the elements described in these guidelines. Any differences in implementation shall not impair the performance of the functions described in these guidelines.

II. DEFINITIONS

A. Definition of national system

2. A national system includes all institutional, legal and procedural arrangements made within a Party included in Annex I to the Convention (Annex I Party) for estimating anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, and for reporting and archiving inventory information.

B. Other definitions

3. The meaning of the following terms in these guidelines for national systems[2] is the same as in the glossary of the Intergovernmental Panel on Climate Change (IPCC) good practice guidance,[3] accepted by the IPCC at its XVI Plenary:[4]

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[1] All articles referred to in these guidelines are those of the Kyoto Protocol. For the sake of brevity, the Kyoto Protocol is not specified after each article.

[2] The guidelines for national systems for the estimation of anthropogenic greenhouse gas emissions by sources and removals by sinks under Article 5.1 of the Kyoto Protocol are referred to as "guidelines for national systems" in this document.

[3] The IPCC "*Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories*" is referred to as the "IPCC good practice guidance" in these guidelines for national systems.

[4] Montreal, 1-8 May 2000.

(a) Good practice is a set of procedures intended to ensure that greenhouse gas inventories are accurate in the sense that they are systematically neither over- nor underestimated as far as can be judged, and that uncertainties are reduced as far as possible. Good practice covers choice of estimation methods appropriate to national circumstances, quality assurance and quality control at the national level, quantification of uncertainties, and data archiving and reporting to promote transparency;

(b) Quality control (QC) is a system of routine technical activities to measure and control the quality of the inventory as it is being developed. The QC system is designed to:

(i) Provide routine and consistent checks to ensure data integrity, correctness and completeness;
(ii) Identify and address errors and omissions;
(iii) Document and archive inventory material and record all QC activities.

QC activities include general methods such as accuracy checks on data acquisition and calculations and the use of approved standardized procedures for emission calculations, measurements, estimating uncertainties, archiving information and reporting. Higher tier QC activities also include technical reviews of source categories, activity and emission factor data and methods;

(c) Quality assurance (QA) activities include a planned system of review procedures conducted by personnel not directly involved in the inventory compilation development process, to verify that data quality objectives were met, ensure that the inventory represents the best possible estimate of emissions and sinks given the current state of scientific knowledge and data available, and support the effectiveness of the QC programme;

(d) Key source category is one that is prioritized within the national inventory because its estimate has a significant influence on a country's total inventory of direct greenhouse gases in terms of the absolute level of emissions, the trend in emissions, or both;

(e) Decision tree is a flow-chart describing the specific ordered steps which need to be followed to develop an inventory or an inventory component in accordance with the principles of good practice.

4. Recalculation, consistent with the UNFCCC reporting guidelines on annual inventories,[5] is a procedure for re-estimating anthropogenic greenhouse gas (GHG)[6] emissions by sources and

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[5] FCCC/CP/1999/7.

[6] References to greenhouse gases (GHGs) in these guidelines for national systems refer to GHGs not controlled by the Montreal Protocol.

removals by sinks of previously submitted inventories[7] as a consequence of changes in methodologies, changes in the manner in which emission factors and activity data are obtained and used, or the inclusion of new source and sink categories.

III. OBJECTIVES

5. The objectives of national systems under Article 5.1 for the estimation of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol, referred to below as national systems, are:

(a) To enable Annex I Parties to estimate anthropogenic GHG emissions by sources and removals by sinks, as required by Article 5, and to report these emissions by sources and removals by sinks in accordance with Article 7.1 and relevant decisions of the Conference of the Parties (COP) and/or the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP/MOP);

(b) To assist Annex I Parties in meeting their commitments under Articles 3 and 7;

(c) To facilitate the review of the information submitted under Article 7 by Annex I Parties, as required by Article 8;

(d) To assist Annex I Parties to ensure and improve the quality of their inventories.

IV. CHARACTERISTICS

6. National systems should be designed and operated to ensure the transparency, consistency, comparability, completeness and accuracy of inventories as defined in the guidelines for the preparation of inventories by Annex I Parties, in accordance with relevant decisions of the COP and/or COP/MOP.

7. National systems should be designed and operated to ensure the quality of the inventory through planning, preparation and management of inventory activities. Inventory activities include collecting activity data, selecting methods and emission factors appropriately, estimating anthropogenic GHG emissions by sources and removals by sinks, implementing uncertainty assessment and quality assurance/quality control (QA/QC) activities, and carrying out procedures for the verification of the inventory data at the national level, as described in these guidelines for national systems.

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[7] "National GHG inventories" are referred to simply as "inventories" in these guidelines for the sake of brevity.

8 National systems should be designed and operated to support compliance with Kyoto Protocol commitments related to the estimation of anthropogenic GHG emissions by sources and removals by sinks.

9. National systems should be designed and operated to enable Annex I Parties to consistently estimate anthropogenic emissions by all sources and removals by all sinks of all GHGs, as covered by the Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories and IPCC good practice guidance, in accordance with relevant decisions of the COP and/or COP/MOP.

V. GENERAL FUNCTIONS

10. In the implementation of its national system, each Annex I Party shall:

(a) Establish and maintain the institutional, legal and procedural arrangements necessary to perform the functions defined in these guidelines for national systems, as appropriate, between the government agencies and other entities responsible for the performance of all functions defined in these guidelines;

(b) Ensure sufficient capacity for timely performance of the functions defined in these guidelines for national systems, including data collection for estimating anthropogenic GHG emissions by sources and removals by sinks and arrangements for technical competence of the staff involved in the inventory development process;

(c) Designate a single national entity with overall responsibility for the national inventory;

(d) Prepare national annual inventories and supplementary information in a timely manner in accordance with Articles 5, 7.1 and 7.2 and relevant decisions of the COP and/or COP/MOP;

(e) Provide information necessary to meet the reporting requirements defined in the guidelines under Article 7 in accordance with the relevant decisions of the COP and/or COP/MOP.

VI. SPECIFIC FUNCTIONS

11. In order to meet the objectives and perform the general functions described above, each Annex I Party shall undertake specific functions related to inventory planning, preparation and management.[8]

A. Inventory planning

12. As part of its inventory planning, each Annex I Party shall:

(a) Designate a single national entity with overall responsibility for the national inventory;

(b) Make available the postal and electronic addresses of the national entity responsible for the inventory;

(c) Define and allocate specific responsibilities in the inventory development process, including those related to choice of methods, data collection, particularly activity data and emission factors from statistical services and other entities, processing and archiving, and QC and QA. This definition shall specify the roles of, and cooperation between, government agencies and other entities involved in the preparation of the inventory, as well as the institutional, legal and procedural arrangements made to prepare the inventory;

(d) Elaborate an inventory QA/QC plan which describes specific QC procedures to be implemented during the inventory development process, facilitate the overall QA procedures to be conducted, to the extent possible, on the entire inventory and establish quality objectives;

(e) Establish processes for the official consideration and approval of the inventory, including any recalculations, prior to its submission and to respond to any issues raised by the inventory review process under Article 8.

13. As part of its inventory planning, each Annex I Party should consider ways to improve the quality of activity data, emission factors, methods and other relevant technical elements of inventories. Information obtained from the implementation of the QA/QC programme, the review process under Article 8 and other reviews should be considered in the development and/or revision of the QA/QC plan and the quality objectives.

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[8] For the purpose of these guidelines for national systems, the inventory development process encompasses inventory planning, preparation and management. These steps of the inventory development process are considered in these guidelines only in order to clearly identify the functions to be performed by the national systems, as described in paragraphs 12 to 17 below.

B. Inventory preparation

14. As part of its inventory preparation, each Annex I Party shall:

(a) Identify key source categories following the methods described in the IPCC good practice guidance (chapter 7, section 7.2);

(b) Prepare estimates in accordance with the methods described in the Revised 1996 IPCC Guidelines for National Greenhouse Gas Inventories, as elaborated by the IPCC good practice guidance, and ensure that appropriate methods are used to estimate emissions from key source categories;

(c) Collect sufficient activity data, process information, and emission factors as are necessary to support the methods selected for estimating anthropogenic GHG emissions by sources and removals by sinks;

(d) Make a quantitative estimate of inventory uncertainty for each source category and for the inventory in total, following the IPCC good practice guidance;

(e) Ensure that any recalculations of previously submitted estimates of anthropogenic GHG emissions by sources and removals by sinks are prepared in accordance with the IPCC good practice guidance and relevant decisions of the COP and/or COP/MOP;

(f) Compile the national inventory in accordance with Article 7.1 and relevant decisions of the COP and/or COP/MOP;

(g) Implement general inventory QC procedures (tier 1) in accordance with its QA/QC plan following the IPCC good practice guidance.

15. As part of its inventory preparation, each Annex I Party should:

(a) Apply source category specific QC procedures (tier 2) for key source categories and for those individual source categories in which significant methodological and/or data revisions have occurred, in accordance with the IPCC good practice guidance;

(b) Provide for a basic review of the inventory by personnel that have not been involved in the inventory development, preferably an independent third party, before the submission of the inventory, in accordance with the planned QA procedures referred to in paragraph 12 (d) above;

(c) Provide for a more extensive review of the inventory for key source categories, as well as source categories where significant changes in methods or data have been made;

(d) Based on the reviews described in paragraph 15 (b) and (c) and periodic internal evaluations of the inventory preparation process, re-evaluate the inventory planning process in order to meet the established quality objectives referred to in paragraph 12 (d).

C. Inventory management

16. As part of its inventory management, each Annex I Party shall:

(a) Archive inventory information for each year in accordance with relevant decisions of the COP and/or COP/MOP. This information shall include all disaggregated emission factors, activity data, and documentation about how these factors and data have been generated and aggregated for the preparation of the inventory. This information shall also include internal documentation on QA/QC procedures, external and internal reviews, documentation on annual key sources and key source identification and planned inventory improvements;

(b) Provide review teams under Article 8 with access to all archived information used by the Party to prepare the inventory, in accordance with relevant decisions of the COP and/or COP/MOP;

(c) Respond to requests for clarifying inventory information resulting from the different stages of the review process of the inventory information, and information on the national system, in a timely manner in accordance with Article 8.

17. As part of its inventory management, each Annex I Party should make the archived information accessible by collecting and gathering it at a single location.

VII. ADOPTION AND UPDATING OF THE GUIDELINES

18. These guidelines for national systems shall be adopted, reviewed and revised, as appropriate, according to the decisions of the COP/MOP, taking into account any relevant decisions of the COP.

Annex II

FORMATS FOR THE SUBMISSION DUE ON 1 AUGUST 2000 OF PRELIMINARY, COUNTRY-SPECIFIC DATA AND INFORMATION BY ANNEX I PARTIES FOR PROPOSALS RELATED TO ARTICLE 3.3 AND 3.4 OF THE KYOTO PROTOCOL

This annex provides formats for the submission due on 1 August 2000 of preliminary, country-specific data and information on proposals by Annex I Parties for activities related to Article 3.3 and 3.4 of the Kyoto Protocol. These formats, together with any rules, modalities or guidelines adopted for this annex, or the data and information that will be submitted by Parties using this annex, by no means prejudge decisions or conclusions that may be made by either the Conference of the Parties (COP) or the Subsidiary Body for Scientific and Technological Advice (SBSTA) at future sessions.

The terms and abbreviations used throughout this annex refer to the definitions given in the Intergovernmental Panel on Climate Change (IPCC) *Special Report on Land-Use, Land-Use Change and Forestry* in table 3-1, on pages 130-131 (definitional scenarios) and the section "Land-Based versus Activity-Based Accounting" on pages 130-131 (accounting approaches). For example, the abbreviation "FAO" refers to a definitional scenario where: "A forest refers to a land that has, or will have because of continued growth, more than 10% canopy cover; deforestation is a decline of canopy cover to below 10%, but excludes changes within the forest class; reforestation is artificial establishment of forest on lands that had them previously (including regeneration post-harvest); afforestation is artificial establishment of forest on lands that were not historically forest."

When completing the annex, Parties may modify the definitional scenarios or accounting approaches or use country-specific definitions or approaches. In such cases where the definitions or approaches deviate from those provided by the IPCC Special Report, this should be clearly stated and the applied definitions and/or approaches must be explained in the explanatory text that must accompany each table.

In its submission the Annex I Party should complete those portions of tables I and III that directly relate to its preferred proposals. Furthermore, the Annex I Parties may provide data and information in relation to other options using tables I and III.

Table 1 - Preliminary data and information provided by Annex I Party on carbon stock changes and areas related to Article 3.3 activities

Article 3.3 Country specific data	Definitions	Accounting framework	a_I (ha)	ΔC_I (t C)	a_{II} (ha)	ΔC_{II} (t C)	a_{cp} (ha)	ΔC_{cp} (t C)	Methods and approaches	Data sources, data quality, and uncertainty (e.g. ranges)	Other information relevant to decision-making
Afforestation Reforestation	IPCC	Activity based									
		Land based									
Afforestation	FAO	Activity based									
		Land based									
Reforestation	FAO	Activity based									
		Land based I									
		Land based II									
Afforestation Reforestation	Other	Activity based									
		Land based									
Deforestation	IPCC/FAO	Activity based									
		Land based									
	Other	Activity based									
		Land based									

a_I Area (ha) afforested and reforested, or deforested since 1990 up to 1995 or possibly an earlier specific year.
ΔC_I Carbon stock change (t C) since 1990 up to the same year as used in a_I on land afforested, reforested, and deforested.
a_{II} Area (ha) afforested and reforested, or deforested since 1990 up to 1999 or an earlier specific year.
ΔC_{II} Carbon stock change (t C) since 1990 up to the same year as used in a_{II} on land afforested, reforested, and deforested.
a_{cp} Projected area (ha) afforested and reforested, or deforested since 1990 up to 2012.
ΔC_{cp} Projected carbon stock change (t C) over the first commitment period on land afforested, reforested, and deforested since 1990 up to 2012.

Methods and approaches
Specify:
a) Forest definition used;
b) Definitions for afforestation, reforestation and deforestation used;
c) Applied accounting approaches;
d) Included carbon pools;
e) Other.

EXPLANATORY TEXT (table 1)

Parties should submit information under all headings listed below where the information is relevant to the approach taken in their submission and to the extent that data and methodologies exist.

1. Definitions and accounting:
   a) Forest,
   b) Afforestation, reforestation, and deforestation,
   c) Accounting approaches.

2. Carbon pools included (e.g. above-ground biomass, litter and woody debris, below-ground biomass, soil carbon, and harvested materials);

3. Stratification (e.g. biomes and regions);

4. Methodologies and data:
   a) Data sources,
   b) Sampling techniques,
   c) Models and key parameters,
   d) Uncertainties.

5. Treatment of non-CO_2 greenhouse gases.

6. Methods and key assumptions in projections for the first commitment period (2008–2012) and discussion, if possible, of trends beyond the first commitment period.

Table II - Preliminary data and information provided by Annex I Party on carbon stocks and area estimates (First sentence of Article 3.4)

Land system	*Area (ha)*	*Carbon stock in 1990 (t C)*
Forest lands		
Agriculture lands		
Rangelands/grasslands		
Wetland/tundra		
Other		
Total (as listed above)		

EXPLANATORY TEXT (table II)

Parties should submit information under all headings listed below where the information is relevant to the approach taken in their submission and to the extent that data and methodologies exist.

1. Description of land categories, including any land categories not covered.

2. Carbon pools - distinctions and assumptions.

3. Data sources.

4. Methods.

5. Possible changes in carbon stocks.

6. Uncertainties.

Table III - Preliminary data and information provided by Annex I Party on Article 3.4 activities, related net GHG emissions, involved areas, and projected carbon stock changes (additional activities under Article 3.4)

Article 3.4 Country specific data	Accounting framework	a_i (ha)	$CO_{2,i}$ (t CO_2)*	$CH_{4,i}$ (t CO_2 equiv.)*[1]	$N_2O_{,i}$ (t CO_2 equiv.)*[1]	a_{ii} (ha)	$CO_{2,ii}$ (t CO_2)*	$CH_{4,ii}$ (t CO_2 equiv.)*[1]	$N_2O_{,ii}$ (t CO_2 equiv.)*[1]	a_{cp} (ha)	ΔC_{cp} (t C)	$CO_{2,cp}$ (t CO_2)*	$CH_{4,cp}$ (t CO_2 equiv.)*[1]	$N_2O_{,cp}$ (t CO_2 equiv.)*[1]	Methods and approaches	Data sources, data quality, and uncertainties (e.g. ranges)	Other information relevant to decision-making
Activity 1	Land based																
	Activity based																
Activity 2	Land based																
	Activity based																
Activity 3	Land based																
	Activity based																

* These columns would contain the sum over the years concerned of net annual emissions by sources and removals by sinks for the Article 3.4 activities proposed.
A negative sign indicates either emissions by sources or a decrease in carbon stocks. A positive sign indicates either removals by sinks or an increase in carbon stocks.
To convert a carbon amount to CO_2 multiply it by 3.67.
[1] CH_4 and N_2O emissions are converted to CO_2 equivalent emissions by using the global warming potential (GWP) values of 21 for CH_4 and 310 for N_2O (Source: Second Assessment Report of the IPCC, 1995)

a_i Area (ha) in 1995 or possibly an earlier specific year involved in the Article 3.4 activity since 1990.
$CO_{2,i}$ Net CO_2 emissions (t CO_2) by sources and removals by sinks related to the Article 3.4 activity, accumulated from 1990 to the same year as used in a_i.
$CH_{4,i}$ CH_4 emissions (t CO_2 equivalent) by sources related to the Article 3.4 activity, accumulated from 1990 to the same year as used in a_i
$N_2O_{,i}$ N_2O emissions (t CO_2 equivalent) by sources related to the Article 3.4 activity, accumulated from 1990 to the same year as used in a_i.
a_{ii} Area (ha) in 1999 or possibly an earlier specific year involved in the Article 3.4 activity since 1990.
$CO_{2,ii}$ Net CO_2 emissions (t CO_2) by sources and removals by sinks related to the Article 3.4 activity, accumulated from 1990 to the same year as used in a_{ii}.
$CH_{4,ii}$ CH_4 emissions (t CO_2 equivalent) by sources related to the Article 3.4 activity, accumulated from 1990 to the same year as used in a_{ii}.

$N_2O_{,ii}$ N_2O emissions (t CO_2 equivalent) by sources related to the Article 3.4 activity, accumulated from 1990

to the same year as used in a_0.

a_{cp} Projected area (ha) in 2012 involved in the Article 3.4 activity since 1990.

ΔC_{cp} Projected carbon stock changes (t C) over the first commitment period related to the Article 3.4 activity since 1990.

CO_{2_cp} Projected net CO_2 emissions related contribution (t CO_2) of the Article 3.4 activity to the first commitment period assigned amount of the Party.

CH_{4_cp} Projected CH_4 emissions related contribution (t CO_2 equivalent) of the Article 3.4 activity to the first commitment period assigned amount of the Party.

$N_2O_{_cp}$ Projected N_2O emissions related contribution (t CO_2 equivalent) of the Article 3.4 activity to the first commitment period assigned amount of the Party.

Methods and approaches

Specify: a) Whether the definition of activity is considered broad or narrow (cf. Section 4.3.2. page 195 of the IPCC Special Report);
b) How the estimates were computed;
c) Other.

EXPLANATORY TEXT (table III)

Parties should submit information under all headings listed below where the information is relevant to the approach taken in their submissions and to the extent that data and methodologies exist.

1. Activities and accounting:
   a) Definitions and descriptions of all activities proposed,
   b) Scope of activities and how they fit into broader managed land categories,
   c) Accounting approaches,
   d) Proposals for key accounting features, e.g. assumptions on baselines, basis for the area estimates covered by activity.
2. Carbon pools included (e.g. above ground biomass, litter and woody debris, below-ground biomass, soil carbon, and harvested materials).
3. Methodologies and data:
   a) Data sources,
   b) Sampling techniques,
   c) Models and key parameters,
   d) Uncertainties.
4. Treatment of non CO_2 greenhouse gases.
5. Methods and key assumptions in projections for the first commitment period (2008–2012) and discussion, if possible, of trends beyond the first commitment period.

Annex III

LIST OF DOCUMENTS BEFORE THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE AT ITS TWELFTH SESSION

FCCC/SBSTA/1999/14	Report of the Subsidiary Body for Scientific and Technological Advice on its eleventh session, Bonn, 25 October - 5 November 1999
FCCC/SBSTA/2000/1	Provisional agenda and annotations. Note by the Executive Secretary
FCCC/SBSTA/2000/2	"Best practices" in policies and measures among Parties included in Annex I to the Convention. Workshop on "best practices" in policies and measures. Note by the Chairman of the Subsidiary Body for Scientific and Technological Advice
FCCC/SBSTA/2000/3	Methodological issues. Land-use, land-use change and forestry. Synthesis report on national greenhouse gas information reported by Annex I Parties for the land-use change and forestry sector and agricultural soils category
FCCC/SBSTA/2000/4	Development and transfer of technologies. Status of the consultative process (decision 4/CP.4). Possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention. Note by the Chairman
FCCC/SBSTA/2000/INF.1	Other matters. Report of the workshop on the new UNFCCC reporting guidelines on annual inventories and options to address challenges facing Annex I Parties with economies in transition in preparing greenhouse gas inventories
FCCC/SBSTA/2000/INF.2	Development and transfer of technologies. Status of the consultative process (decision 4/CP.4). Report of the Asia and the Pacific regional workshop on the transfer of technology consultative process, Cebu, the Philippines, 17-19 January 2000. Note by the Chairman
FCCC/SBSTA/2000/INF.3	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Experience of Annex I Parties with existing national systems for preparing greenhouse gas inventories

FCCC/SBSTA/2000/INF.4	Methodological issues. Methods and tools to evaluate impacts and adaptation. Information on impacts and adaptation assessment methods. Progress report
FCCC/SBSTA/2000/INF.5	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Report of a workshop on issues related to Articles 5, 7 and 8 of the Kyoto Protocol
FCCC/SBSTA/2000/INF.5/Add.1	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Report of a workshop on issues related to Articles 5, 7 and 8 of the Kyoto Protocol. Addendum. Second draft of the guidelines for national systems under Article 5.1 of the Kyoto Protocol
FCCC/SBSTA/2000/INF.5/Add.2	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Report of a workshop on issues related to Articles 5, 7 and 8 of the Kyoto Protocol. Addendum. Elements of Articles 7 and 8 and methodologies for adjustments under Article 5.2
FCCC/SBSTA/2000/INF.6	Development and transfer of technologies. Status of the consultative process (decision 4/CP.4). Report of the Latin America and the Caribbean regional workshop on the transfer of technology consultative process, San Salvador, El Salvador, 29-31 March 2000. Note by the Chairman
FCCC/SBSTA/2000/INF.7	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Modalities for the accounting of assigned amounts. Preliminary assigned amounts
FCCC/SBSTA/2000/MISC.1 and Add.1	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Views from Parties on national systems, adjustments and guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Submissions from Parties
FCCC/SBSTA/2000/MISC.2	Development and transfer of technologies. Status of the consultative process (decision 4/CP.4). Submissions from Parties
FCCC/SBSTA/2000/MISC.3 and Add.1	Other matters. Article 6 of the Convention: education, training and public awareness. Submissions from Parties
FCCC/SBSTA/2000/MISC.5	Methodological issues. Methods and tools to evaluate impacts and adaptation. Submissions from Parties

FCCC/SB/2000/1	Procedures and mechanisms relating to compliance under the Kyoto Protocol. Note by the co-Chairmen of the Joint Working Group on Compliance
FCCC/SB/2000/2	Implementation of Article 4.8 and 4.9 of the Convention (decision 3/CP.3 and Articles 2.3 and 3.14 of the Kyoto Protocol). Note by the chairmen of the subsidiary bodies
FCCC/SB/2000/3	Mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol. Text for further negotiation on principles, modalities, rules and guidelines. Note by the chairmen
FCCC/SB/2000/MISC. 1 and Add.1-2	Mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol. Principles, modalities, rules and guidelines for the mechanisms under Articles 6, 12 and 17 of the Kyoto Protocol. Submissions from Parties
FCCC/SB/2000/MISC.2 and Corr.1	Procedures and mechanisms relating to compliance under the Kyoto Protocol. Submissions from Parties
FCCC/TP/2000/1	Preliminary options for methodologies to apply adjustments under Article 5.2 of the Kyoto Protocol. Technical paper
FCCC/SBSTA/2000/L.1	Report on the session. Draft report of the Subsidiary Body for Scientific and Technological Advice on its twelfth session
FCCC/SBSTA/2000/L.2	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol
FCCC/SBSTA/2000/L.3	Methodological issues. Good practice guidance and uncertainty management in national greenhouse gas inventories
FCCC/SBSTA/2000/L.4	Development and transfer of technologies. Other matters

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Thirteenth session, Part I
Lyon, 11-15 September 2000
Item 2 (a) of the provisional agenda

PROVISIONAL AGENDA AND ANNOTATIONS

Note by the Executive Secretary

I. INTRODUCTION

1. Arrangements have been made for the thirteenth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) to be held at the Palais des Congrès, Lyon, France from 11 to 15 September 2000. A welcoming ceremony is scheduled to take place at 10 a.m. on Monday, 11 September 2000. The session of the SBSTA is scheduled to be opened by the Chairman at 11 a.m. on the same day.

2. In the light of the decision to increase the number of sessional periods in 2000, the Executive Secretary has, after consulting the Bureau, determined that the most pragmatic means of numbering the sessions is for the sessions of the subsidiary bodies in November 2000, in conjunction with the sixth session of the Conference of the Parties (COP), to be regarded as the resumed thirteenth session. Therefore, the provisional agenda, as presented in this document, covers both parts of the thirteenth session, in Lyon in September (part I) and in The Hague in November (part II). Likewise the annotations, as presented in this document, refer to the thirteenth session as a whole. However, they concentrate mainly on the first part and envisage, to the extent possible, the discussions in the second part. Further annotations for the second part of the session may be issued as an addendum to this document. Separate reports on each part of the session will be prepared.

3. Following agreement reached during the fifth session of the Conference of the Parties (COP 5), the duration of part I of the thirteenth session of the SBSTA will be one week. This week of formal meetings will be preceded by a week of informal meetings, beginning at 3 p.m. on 4 September 2000 at the same venue, with the purpose of advancing negotiations on all issues. These consultations will be convened under the authority of the chairmen of the

subsidiary bodies and will normally be open to all participants, including observers. Facilities will be available for up to two meetings at a time. The chairmen of the subsidiary bodies have requested the secretariat to maintain the same servicing arrangements for the pre-sessional week as worked well in June, before the twelfth sessions. Consequently, there will be no provision for interpretation or documentation for the week of the informal meetings. It is hoped that the intensive work during the informal week of meetings will promote significant advances in the negotiating process on the various agenda items under consideration during the session.

4. In view of the significant amount of work that needs to be completed in time for the sixth session of the COP, it will be necessary to make full use of the time available at the thirteenth sessions of the subsidiary bodies. Intensive discussions and negotiations will be necessary during the session and week of informal meetings. The objective will be to develop or advance negotiating texts, including the related decisions, by narrowing options, resolving technical issues and seeking to identify possible approaches to consensus on all issues.

5. The subsidiary bodies may wish to give consideration to any budgetary implications of the decisions to be taken with particular reference to any requirements in the current biennium but also with a view to future resource requirements, in particular regarding any decisions on the mechanisms under the Kyoto Protocol.

II. PROVISIONAL AGENDA[1]

6. The provisional agenda for the thirteenth session of the SBSTA, proposed after consultation with the Chairman, is as follows:

1. Opening of the session.

2. Organizational matters:

   (a) Adoption of the agenda;
   (b) Organization of the work of the session.

3. Implementation of Article 4.8 and 4.9 of the Convention (decision 3/CP.3 and Articles 2.3 and 3.14 of the Kyoto Protocol).

4. Matters relating to Article 3.14 of the Kyoto Protocol.

5. Procedures and mechanisms relating to compliance under the Kyoto Protocol.

6. Activities implemented jointly under the pilot phase.

7. Mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol.

8. Capacity-building:

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[1] Items 3 to 8 will be considered jointly with the Subsidiary Body for Implementation.

(a) Capacity-building in developing countries (non-Annex I Parties);
(b) Capacity-building in countries with economies in transition.

9. Methodological issues:

(a) Land-use, land-use change and forestry;
(b) Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol;
(c) Impact of single projects on emissions in the commitment period;
(d) Other matters.

10. Development and transfer of technologies: status of the consultative process (decision 4/CP.4).

11. "Best practices" in policies and measures among Parties included in Annex I to the Convention.

12. Cooperation with relevant international organizations.

13. Other matters.

14. Report on the session.

III. ANNOTATIONS TO THE PROVISIONAL AGENDA

1. Opening of the session

7. The thirteenth session of the SBSTA is scheduled to be opened by the Chairman at 11 a.m. on Monday, 11 September 2000.

2. Organizational matters

(a) Adoption of the agenda

8. The provisional agenda for the thirteenth session of the SBSTA will be presented for adoption. It covers both parts of the thirteenth session, in Lyon in September (part I) and in The Hague in November (part II). It may need to be adjusted to take account of developments during the week of informal meetings preceding part I of the thirteenth sessions of the subsidiary bodies.

9. Items 3 to 8 have been included in the provisional agendas for the thirteenth sessions of both the SBSTA and the Subsidiary Body for Implementation (SBI). In view of the ambitious work programme the SBSTA has before it in the lead-up to the sixth session of the Conference of the Parties, an effort has been made to streamline the agenda. As a result, information on several issues which do not require substantive discussion at this session is presented in section IV of this document as a means of providing Parties with an update on the status of those issues.

(b) Organization of the work of the session

10. Parties are invited to refer to the proposed schedule of work for part I of the session contained in annex II to this document.

3. Implementation of Article 4.8 and 4.9 of the Convention (decision 3/CP.3 and Articles 2.3 and 3.14 of the Kyoto Protocol)

11. **Background:** By its decision 5/CP.4,[2] the Conference of the Parties adopted the programme of work set out in the annex to that decision. According to this programme of work, the COP, at its sixth session, is to identify any additional actions needed to address the implementation of Article 4.8 and 4.9 of the Convention, as well as Articles 2.3 and 3.14 of the Kyoto Protocol. The SBSTA considered this matter jointly with the SBI at its twelfth session, and noted the progress made on addressing the implementation of Article 4.8 and 4.9 of the Convention. The subsidiary bodies invited their chairmen, with the assistance of the secretariat, to develop a text on these issues, on the basis of the consolidated text and other inputs from Parties, as well as comments made in the course of the discussions, to serve as a basis for negotiation at the thirteenth sessions of the subsidiary bodies (FCCC/SBSTA/2000/5, para. 15).

12. **Action:** The chairmen of the subsidiary bodies will, at part I of this session, report on the informal consultations held in Bonn from 23 to 25 August 2000, and on the informal meetings held during the week preceding part I of this session, on the implementation of Article 4.8 and 4.9 of the Convention.

13. The subsidiary bodies will, at part I of the session, have before them document FCCC/SB/2000/5 containing a consolidated text and other inputs from Parties. The subsidiary bodies may wish to consider this document, along with any other text prepared by the chairmen of the subsidiary bodies on the basis of the inputs provided and comments made by Parties which would serve as a basis for negotiation at the thirteenth sessions of the subsidiary bodies. Also, in accordance with decision 12/CP.5,[3] they may wish to discuss the implementation of the examples of initial actions listed in paragraph 4 (a)-(e) of that decision, and they may also wish to discuss the process of implementation of Article 4.8 and 4.9 of the Convention as provided for in the same decision.

4. Matters relating to Article 3.14 of the Kyoto Protocol

14. **Background:** In accordance with Article 3.14 of the Kyoto Protocol, the first session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (COP/MOP 1) shall consider actions to implement the provisions of Article 3.14. The COP, at

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[2] For the full texts of decisions adopted by the Conference of the Parties at its fourth session, see document FCCC/CP/1998/16/Add.1.

[3] For the full texts of decisions adopted by the Conference of the Parties at its fifth session, see document FCCC/CP/1999/6/Add.1.

its fifth session, having considered this matter along with the implementation of Article 4.8 and 4.9 of the Convention (decision 3/CP.3 and Articles 2.3 and 3.14 of the Kyoto Protocol), decided to consider further, at its sixth session, matters related to Article 3.14 as an input to COP/MOP 1, taking into account its ongoing discussions on the implementation of Article 4.8 and 4.9 of the Convention (decision 12/CP.5). The SBSTA considered this matter jointly with the SBI at its twelfth session, and noted that discussion had commenced on matters related to Article 3.14 of the Kyoto Protocol (FCCC/SBSTA/2000/5, para. 15 (c)).

15. **Action:** The chairmen of the subsidiary bodies will, at part I of this session, report on the informal consultations held in Bonn from 23 to 25 August 2000, and on the informal meetings held during the week preceding part I of this session, on matters related to Article 3.14 of the Kyoto Protocol.

16. The subsidiary bodies, at part I of the session, will have before them document FCCC/SB/2000/5 containing a consolidated text and other inputs from Parties. The subsidiary bodies may wish to consider this document, along with any other text prepared by the chairmen of the subsidiary bodies on the basis of the inputs provided and comments made by Parties, which would serve as a basis for negotiation at the thirteenth sessions of the subsidiary bodies.

5. Procedures and mechanisms relating to compliance under the Kyoto Protocol

17. **Background:** By its decision 15/CP.5, the Conference of the Parties decided that the Joint Working Group on Compliance (JWG) should aim to complete its work so as to enable the Conference of the Parties to adopt a decision on compliance under the Kyoto Protocol at its sixth session.

18. The JWG, at its meetings during the twelfth sessions of the subsidiary bodies, developed a text on compliance (FCCC/SBI/2000/5, annex III). It requested the co-chairmen, with the assistance of the secretariat, to further develop the text to serve as the basis for negotiation, along with inputs from Parties, at the thirteenth sessions of the subsidiary bodies.

19. **Action:** The chairmen of the subsidiary bodies will, at part I of this session, report on the informal consultations held in Iceland from 18 to 20 July 2000, and on the informal meetings held during the week preceding part I of this session, on matters related to compliance.

20. The JWG, at part I of the session, will have before it document FCCC/SB/2000/7 containing a text that would serve as the basis for negotiation, prepared by the co-chairmen of the JWG. The JWG may wish to consider this text bearing in mind that it must intensify its efforts to fulfil its mandate. The subsidiary bodies may also wish to address relevant issues that are cross-cutting with other provisions of the Kyoto Protocol.

6. Activities implemented jointly under the pilot phase

21. **Background:** The COP, at its first session (decision 5/CP.1), requested the subsidiary bodies to prepare, with the assistance of the secretariat, an annual synthesis report on activities implemented jointly (AIJ) under the pilot phase for consideration by the Conference of the Parties (FCCC/CP/1995/7/Add.1).

22. By its decision 13/CP.5, the COP encouraged Parties involved in activities implemented jointly under the pilot phase to submit, by 30 June 2000, further information on such activities, using the uniform reporting format, for consideration in the fourth synthesis report. This report is contained in document FCCC/SB/2000/6. All reports on AIJ project activities considered in the synthesis report are available on the UNFCCC web site.[4]

23. By the same decision, the COP invited Parties to provide proposals for the improvement of the draft revised uniform reporting format contained in FCCC/SB/1999/5/Add.1, by 31 March 2000. Based on the six submissions received, the secretariat has prepared a further draft revision of the uniform reporting format and draft guidance for its use (FCCC/SB/2000/6/Add.1).

24. **Action:** The subsidiary bodies, at part I of the session, may wish to consider the fourth synthesis report on activities implemented jointly under the pilot phase and the draft revised uniform reporting format. They may also wish to recommend that the COP, at its sixth session, take note of the fourth synthesis report and consider, and possibly adopt, the revised uniform reporting format.

7. Mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol

25. **Background:** The subsidiary bodies, at their twelfth sessions, recalling decision 14/CP.5, agreed to forward to the thirteenth sessions of the subsidiary bodies the note by the chairmen of the subsidiary bodies contained in document FCCC/SB/2000/4, entitled "Consolidated text on principles, modalities, rules and guidelines", as a basis for further negotiations on mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol, with priority given to the clean development mechanism (CDM) and with a view to the Conference of the Parties taking decisions on all the mechanisms under Articles 6, 12 and 17 of the Kyoto Protocol at its sixth session, including, where appropriate, recommendations to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its first session (FCCC/SBSTA/2000/5, para. 23 (c)).

26. At the same sessions, the subsidiary bodies urged Parties, if they wished to make additional submissions, to do so in succinct, legal language and directly related to the text in document FCCC/SB/2000/4, by 1 August 2000, to be reflected in a miscellaneous document to be issued before the thirteenth sessions of the subsidiary bodies (FCCC/SBSTA/2000/5, para. 23 (d)). These additional submissions are contained in document FCCC/SB/2000/MISC.4. Submissions received after 1 August 2000, if any, will be made available at the thirteenth sessions by way of an addendum to that document.

27. **Action:** The chairmen of the subsidiary bodies will, during part I of this session, report on the informal consultations on mechanisms held in Bonn from 21 to 22 August 2000, and on the informal meetings on mechanisms held during the week preceding part I of this session.

28. The subsidiary bodies may wish to consider, at their joint sessions, the note by the chairmen contained in document FCCC/SB/2000/4, as well as the submissions by Parties in document FCCC/SB/2000/MISC.4 and any addendum to it. The subsidiary bodies may wish to

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[4] http://www.unfccc.de/program/aij/index.html.

further consolidate the text. Special consideration may be given to issues such as the rules of procedure of the executive board of the clean development mechanism, accreditation standards for operational entities and the UNFCCC CDM reference manual. The subsidiary bodies may also wish to address relevant issues that are cross-cutting with other provisions of the Kyoto Protocol.

8. Capacity-building

(a) Capacity-building in developing countries (non-Annex I Parties)

29. **Background:** In accordance with decision 10/CP.5, the secretariat has developed elements of a draft framework for capacity-building activities in developing countries for consideration by the subsidiary bodies at their thirteenth sessions (FCCC/SB/2000/8). This document is based on consultations with Parties at the twelfth sessions of the subsidiary bodies, inputs provided by Parties and intergovernmental organizations (FCCC/SB/2000/INF.1 and Add.1, FCCC/SB/2000/INF.3, FCCC/SB/2000/INF.4, FCCC/SB/2000/INF.6, FCCC/SB/2000/INF.8 and Add.1 and FCCC/SB/2000/INF.9), and elements related to capacity-building emerging from discussions of other issues under the Convention and its Kyoto Protocol.

30. **Action:** The chairmen of the subsidiary bodies will, at part I of this session, report on the informal meetings on capacity-building in developing countries held during the preceding week. The subsidiary bodies, at both parts of the session, may wish to consider the elements of a draft framework and recommend a draft decision on capacity-building in developing countries for adoption by COP 6.

(b) Capacity-building in countries with economies in transition

31. **Background:** In accordance with decision 11/CP.5, the secretariat has developed elements of a draft framework for capacity-building activities in countries with economies in transition for consideration by the subsidiary bodies at their thirteenth sessions (FCCC/SB/2000/9). This document is based on consultations with Parties at the twelfth sessions of the subsidiary bodies, inputs provided by Parties and intergovernmental organizations (FCCC/SB/2000/INF.2, FCCC/SB/2000/INF.4, FCCC/SB/2000/INF.7, FCCC/SB/2000/INF.8 and Add.1 and FCCC/SB/2000/INF.9), and elements related to capacity-building emerging from discussions of other issues under the Convention and its Kyoto Protocol.

32. **Action:** The chairmen of the subsidiary bodies will, at part I of this session, report on the informal meetings on capacity-building in countries with economies in transition held during the preceding week. The subsidiary bodies, at both parts of the session, may wish to consider the elements of a draft framework and recommend a draft decision on capacity-building in countries with economies in transition for adoption by COP 6.

9. Methodological issues

(a) Land-use, land-use change and forestry

33. **Background:** By its decision 16/CP.5, the COP endorsed a work programme on land-use, land-use change and forestry with a view to recommending, at its sixth session, draft decisions relating to Article 3.3 and 3.4 of the Kyoto Protocol for adoption by the COP/MOP.

34. The SBSTA, at its tenth session, requested the secretariat to organize a workshop on land-use, land-use change and forestry (FCCC/SBSTA/1999/6, para. 41 (d)). The workshop was held in Poznan, Poland, from 10 to 15 July 2000.

35. The SBSTA, at its eleventh and twelfth sessions, requested Parties to provide submissions by 1 August 2000 containing country-specific data and information, views, and textual proposals, pertinent to Article 3.3 and 3.4 of the Kyoto Protocol (FCCC/SBSTA/1999/14, para. 46 (g), (h) and (i), FCCC/SBSTA/2000/5, para. 32). On the basis of these submissions the Chairman of the SBSTA, with the assistance of the secretariat, was requested to prepare a consolidated synthesis of proposals. Due to the short period between the submissions and the start of part I of the thirteenth sessions of the subsidiary bodies, the synthesis of proposals will only be available immediately prior to the pre-sessional week, as document FCCC/SBSTA/2000/9 and Add.1. The submissions made by Parties are contained in document FCCC/SBSTA/2000/MISC.6.

36. **Action:** The Chairman of the SBSTA will, at part I of this session, report on the workshop held in Poznan, Poland and on the informal meetings held during the week preceding part I of this session.

37. Parties may wish to come prepared to further consolidate the proposals contained in documents FCCC/SBSTA/2000/9 and FCCC/SBSTA/2000/MISC.6 during part I of this session, with a view to further revising the synthesis of proposals and possibly commencing work on a draft negotiating text. Parties may also wish to consider and agree on how to take forward this text to the sixth session of the Conference of the Parties in order to fulfil the mandate of decisions 9/CP.4 and 16/CP.5.

(b) Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol

38. **Background:** By its decision 8/CP.4, the COP agreed to prepare guidelines under Articles 5, 7 and 8 of the Kyoto Protocol with a view to recommending at its sixth session guidelines under these articles for adoption by the COP/MOP.

39. The SBSTA, at its twelfth session, agreed upon guidelines for national systems under Article 5.1 of the Kyoto Protocol, and decided to prepare, at its thirteenth session, a draft decision on this issue to be recommended for adoption by the COP at its sixth session (FCCC/SBSTA/2000/5, para. 36 (a)).

40. The SBSTA also requested the secretariat to prepare draft guidelines for the review process under Article 8 of the Kyoto Protocol (FCCC/SBSTA/2000/7), for consideration by the SBSTA at its thirteenth session, with the aim of recommending a decision on such guidelines for adoption by the COP at its sixth session. In doing so, the information contained in documents

FCCC/SBSTA/2000/INF.5 and Add.2, submissions by Parties and issues raised by Parties during the twelfth session of the SBSTA were to be taken into account. The SBSTA recognized that some elements of these guidelines would be further elaborated at a later stage (FCCC/SBSTA/2000/5, para. 36 (d)).

41. The SBSTA agreed to consider, at its thirteenth session, guidelines for the preparation of the information required under Article 7 of the Kyoto Protocol and information on methodologies for adjustments, with the aim of recommending a decision on such guidelines and on initial guidance on methodologies for adjustments for adoption by the COP at its sixth session and initiating a process for further elaborating these methodologies at a later stage. In doing so, the information contained in document FCCC/SBSTA/2000/INF.5/Add.2 and submissions by Parties were to be taken into account. The SBSTA recognized that some elements of such guidelines under Article 7 would be further elaborated at a later stage (FCCC/SBSTA/2000/5, para. 36 (c) and (e)).

42. The SBSTA took note of the information on some aspects related to modalities of accounting for assigned amounts contained in document FCCC/SBSTA/2000/INF.7 and it invited Parties to address, at its thirteenth session, the issues raised in this document, including the review of the base year inventories and whether a decision should be taken by the COP at its sixth session on this issue (FCCC/SBSTA/2000/5, para. 36 (g)).

43. The SBSTA invited Parties to consider, at its thirteenth session, when the guidelines and guidance to be adopted by the COP at its sixth session, as mentioned in paragraphs 40 and 41 above, should be further elaborated and completed.

44. It also invited Parties to submit, by 1 August 2000, comments on issues related to Articles 5, 7 and 8, particularly on those issues mentioned in paragraphs 40 to 43 above. These submissions are contained in documents FCCC/SBSTA/2000/MISC.1/Add.2 and FCCC/SBSTA/2000/MISC.7.

45. **Action:** The Chairman of the SBSTA will, at part I of this session, report on the informal meetings held during the preceding week.

46. Parties may wish to come prepared to continue the methodological work related to Articles 5, 7 and 8 of the Kyoto Protocol and to prepare the corresponding decisions to be recommended for adoption by the COP. Parties may also wish to address relevant issues that are cross-cutting with other provisions of the Kyoto Protocol.

47. Parties may wish to refer to the SBI information on issues related to Articles 7 and 8, in accordance with the agreed division of labour set out in decision 8/CP.4.

(c) Impact of single projects on emissions in the commitment period

48. **Background:** By its decision 1/CP.3,[5] paragraph 5 (d), the COP decided to consider, at its fourth session, the "consideration of and, as appropriate, action on suitable methodologies to address the situation of Parties listed in Annex B to the Protocol for which single projects would

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[5] For the full text of decisions adopted by the Conference of the Parties at its third session, see document FCCC/CP/1997/7/Add.1.

have a significant proportional impact on emissions in the commitment period". By its decision 16/CP.4, the COP requested the SBSTA to report any additional information on this issue to it at its fifth session and resolved to take a conclusive decision on the matter, as appropriate, at that session.

49. At its fifth session, the COP endorsed the conclusion of the SBSTA at its eleventh session that the SBSTA would consider this issue further at its thirteenth session, taking into account any additional information provided by Parties up to 17 July 2000, with a view to recommending a decision for adoption by the COP at its sixth session (FCCC/SBSTA/1999/14, para. 60). As at 25 July, no such submissions have been received.

50. **Action:** The SBSTA, at part I of this session, may wish to consider any additional information relevant to the issue, with a view to drafting a decision on this item to be recommended for adoption by the COP at its sixth session.

(d) Other matters

Emissions resulting from fuel used in international transportation

51. **Background:** Article 2.2 of the Kyoto Protocol states that the Parties included in Annex I shall pursue limitation or reduction of emissions of greenhouse gases not controlled by the Montreal Protocol from aviation and marine bunker fuels, working through the International Civil Aviation Organization (ICAO) and the International Maritime Organization (IMO), respectively.

52. By its decision 2/CP.3, the COP urged the SBSTA to further elaborate on the inclusion of emissions based upon fuel sold to ships or aircraft engaged in international transport in the overall greenhouse gas inventories of Parties.

53. By its decision 18/CP.5, the COP requested the SBSTA to continue its current work on methodological issues related to reporting on emissions based upon fuel sold to ships and aircraft engaged in international transport, including those that might be contained in the Intergovernmental Panel on Climate Change (IPCC) *Report on Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories*.

54. The SBSTA, at its eleventh session, decided to consider the methodological aspects related to emissions based upon fuel sold to ships and aircraft engaged in international transport contained in the IPCC *Report on Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories*, at the SBSTA session following the approval of that report (FCCC/SBSTA/1999/14, para. 56 (e)).

55. At its twelfth session, the SBSTA was informed that the Marine Environment Protection Committee of IMO would consider a report on emissions from marine transportation at its meeting in October 2000. Also the Committee on Aviation Environmental Protection of ICAO will consider a report on aviation emissions at its meeting in January 2001.

56. At the same session, Parties were provided with copies of the IPCC *Report on Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories*.

Information on methods to estimate emissions from fuel sold for international transport may be found in chapter 2, pages 2.51 to 2.69.[6]

57. **Action:** At part I of this session, the secretariat will report on its cooperation with ICAO and IMO. It is anticipated that the ICAO and IMO will provide reports on their activities. In view of the ambitious work programme and because decisions of ICAO and IMO on the reports referred to in paragraph 55 will not be available until after part I of this session, it is proposed that substantive discussion on this matter take place during the fourteenth session of the SBSTA.

Methods and tools to assess climate change impacts and adaptation

58. At its twelfth session, the SBSTA encouraged the secretariat to continue its work on collecting and disseminating information on the methods and tools to assess climate change impacts and adaptation. It noted that further action is needed to improve the quality of information, and to enhance the capability of developing country Parties to make the best use of available methods and tools. The SBSTA requested the secretariat, in coordination with the IPCC, to organize a meeting of experts to explore options for such action, and the feasibility of a joint workshop on impacts and adaptation methodologies after the Working Group II Third Assessment Report of the IPCC is approved/accepted. The SBSTA invited the secretariat to provide information on the results of this expert meeting, if possible, at its thirteenth session (FCCC/SBSTA/2000/5, para. 43).

59. It is anticipated that, in response to the above request, the secretariat will conduct an expert meeting in coordination with the IPCC in the margins of the Third IPCC Working Group II Lead Authors Meeting to be held in Lisbon, Portugal from 8 to 11 August 2000. The secretariat will make a short oral report on the outcome of the meeting at part I of this session. Substantive discussion on the matter will take place at the fourteenth session of the SBSTA.

10. Development and transfer of technologies: status of the consultative process (decision 4/CP.4)

60. **Background:** At its twelfth session, the SBSTA recalled its request to the Chairman, made during the eleventh session, to make available at the thirteenth session of the SBSTA a report on the outcome of the consultative process, incorporating a draft text on a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (FCCC/SBSTA/2000/5, para 52 (e)), with a view to a decision being adopted at the sixth session of the Conference of the Parties. It further requested the Chairman, with the assistance of the secretariat, in preparing such a report, to take into account the information contained in the reports of the three regional workshops on the transfer of technology consultative process (FCCC/SBSTA/1999/11, FCCC/SBSTA/2000/INF.2, FCCC/SBSTA/2000/INF.6) and as summarized in the note by the Chairman on possible elements of a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (FCCC/SBSTA/2000/4), the submissions from Parties and the IPCC *Special Report on Methodological and Technological Issues in Technology Transfer*.

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[6] This report is also available on the IPCC web site (http://www.ipcc-nggip.iges.or.jp/gp/report.htm).

61. At the same session, the SBSTA invited the Parties to submit their views, by 30 June 2000, on a framework for implementation of meaningful and effective action to enhance the implementation of Article 4.5 of the Convention (FCCC/SBSTA/2000/5, para. 52 (d)). These submissions are contained in document FCCC/SBSTA/2000/MISC.4.

62. At its fifth session, the Conference of the Parties invited the Chairman of the SBSTA to hold consultations among Parties in August 2000 regarding the outcome of the consultative process (decision 9/CP.5).

63. **Action:** At part I of this session, the Chairman of the SBSTA will report on the outcome of his consultations organized from 2 to 4 August 2000 in Colorado, United States of America and on the informal meetings held during the week preceding part I of this session.

64. The SBSTA will have available a note by the Chairman containing a report on the outcome of the transfer of technology consultative process and a draft text on a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention (FCCC/SBSTA/2000/8). The SBSTA may wish to consider the note with a view to preparing a draft decision for adoption by the sixth session of the Conference of the Parties.

11. "Best practices" in policies and measures among Parties included in Annex I to the Convention

65. **Background**: By its decision 8/CP.4, the Conference of the Parties requested the secretariat to prepare a report on "best practices" in policies and measures for consideration by the SBSTA at its eleventh session. It also requested the secretariat to organize a workshop on "best practices" in policies and measures on the basis of the conclusions of the SBSTA at its eleventh session and to report the results of the workshop to the COP at its sixth session. The workshop was held in Copenhagen from 11 to 13 April 2000.

66. The SBSTA at its twelfth session took note of the report on the Copenhagen workshop (FCCC/SBSTA/2000/2) and discussed how to continue to share experience and exchange information on "best practices" in policies and measures related to Article 2.1 (b) of the Kyoto Protocol. At the same session, the SBSTA decided to further consider this issue at its thirteenth session (FCCC/SBSTA/2000/5, para. 27).

67. **Action:** The Chairman of the SBSTA, at part I of this session, will report on the informal meetings held during the preceding week. The SBSTA may wish to continue the consideration of the issue of "best practices" in policies and measures and, in particular, to consider the report of the Copenhagen workshop with a view to advising the Conference of the Parties, at its sixth session, on how to further advance its work on this subject.

12. Cooperation with relevant international organizations

68. The SBSTA, at its twelfth session, welcomed the cooperation between the secretariat and United Nations bodies and other conventions. It noted with appreciation the reports by representatives of the World Health Organization, the Ramsar Convention, and the United Nations Development Programme. The SBSTA requested the secretariat to continue

consultations with relevant United Nations bodies and other conventions and to inform it of the outcome of these consultations (FCCC/SBSTA/2000/5, para. 59 (h)).

69. Since the twelfth session of the SBSTA, the secretariat has continued to conduct consultations with United Nations agencies and other conventions to promote cooperation on climate change matters, and to ensure that the activities of these agencies are coherent with the Convention process and respond to the needs of the Parties.

70. Input from United Nations agencies and IGOs in the area of capacity-building, in line with decisions 10/CP.5 and 11/CP.5, has been sought on the development of the draft framework for capacity-building which will be further discussed under item 8 of the provisional agenda.

71. At part I of this session, representatives of relevant United Nations bodies may make oral reports.

72. The SBSTA, at its twelfth session, welcomed the information provided by the Global Climate Observing System (GCOS) Secretariat in response to decision 5/CP.5, concerning the need for an intergovernmental process for global observing systems, and noted the progress made in organizing regional workshops to define priority capacity-building needs. The SBSTA invited the GCOS secretariat to report periodically on its activities related to decision 5/CP.5, as well as on developments in the global observing systems for climate at its further sessions (FCCC/SBSTA/2000/5, para. 59). A representative of the GCOS Secretariat is expected to provide a report on the activities of that body, pursuant to the above request, at part II of this session.

13. Other matters

73. Other matters may be considered as they arise during the session. Information on issues not covered by the previous agenda items may be made available if appropriate.

14. Report on the session

74. Separate reports on each part of the session will be prepared. Because of the time that is likely to be needed for considering all items on the agenda, a complete draft text of the report may not be available at the end of the session. The SBSTA may wish to adopt conclusions and authorize the Rapporteur to complete the report after the session under the guidance of the Chairman and with the assistance of the secretariat. Subject to the availability of sufficient time for their translation, conclusions will be made available in all official languages.

IV. INFORMATION RELATING TO THE CONCLUSIONS OF THE SBSTA AT EARLIER SESSIONS

A. Article 6: Education, training and public awareness

75. The SBSTA, at its twelfth session, noted with appreciation that the issue of education, training and public awareness under Article 6 of the Convention had been taken up at the current session. It thanked the secretariat for its report and welcomed its initiative in organizing a side

event at this session, aimed at exchanging information among Parties, intergovernmental organizations and non-governmental organizations (FCCC/SBSTA/2000/5, para. 64 (a)).

76. The SBSTA noted that, although activities related to Article 6 are widely recognized as important in implementing Article 6 of the Convention, the issue has so far received little attention from the SBSTA. The SBSTA also noted that work at the national and international levels has already been undertaken by Parties, intergovernmental organizations and non-governmental organizations, and that the lessons learned, including information products, should now be compiled and shared, and priority areas identified. In addition, the SBSTA took note of the submissions by Parties contained in document FCCC/SBSTA/2000/MISC.3 and Add.1 (FCCC/SBSTA/2000/5, para. 64 (b)).

77. The SBSTA requested the secretariat to put Article 6 on the agenda of its fourteenth session and, where appropriate, subsequent sessions (FCCC/SBSTA/2000/5, para. 64 (c)).

78. At this session and at the sixth session of the COP the secretariat will organize a side event on activities related to education, training and public awareness. The side events will seek to draw out national and international experience in order to identify possible best practice.

B. Roster of experts

79. The SBSTA, at its eleventh session, invited Parties to nominate new experts and/or update the information about their previous nominees to the roster, based on the new nomination form. The secretariat sent a letter to Parties dated 6 March 2000, containing a revised application form and other guidance, and made information available on its web site. Parties wishing to do so may submit their information electronically, via the web, or by fax or mail.

80. As of 11 June, the secretariat had received nominations and/or updates from 42 Parties. Eighteen of them submitted or updated information about 37 experts electronically via the online nomination form. The others sent their nominations by fax or mail. Currently the UNFCCC roster database contains updated information on 91 experts. In addition, information on 66 more experts is to be processed from hard copy.

Annex I

DOCUMENTS BEFORE THE SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE AT PART I OF ITS THIRTEENTH SESSION

Documents prepared for the session

FCCC/SBSTA/2000/5	Report of the Subsidiary Body for Scientific and Technological Advice on its twelfth session, Bonn, 12-16 June 2000
FCCC/SBSTA/2000/6	Provisional agenda and annotations. Note by the Executive Secret. ,
FCCC/SBSTA/2000/7	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol
FCCC/SBSTA/2000/8	Development and transfer of technologies. Status of the consultative process (decision 4/CP.4). Draft text on a framework for meaningful and effective actions to enhance the implementation of Article 4.5 of the Convention. Note by the Chairman
FCCC/SBSTA/2000/9	Methodological issues. Land-use, land-use change and forestry. Consolidated synthesis of proposals made by Parties
FCCC/SBSTA/2000/9/Add.1	Methodological issues. Land-use, land-use change and forestry. Consolidated synthesis of proposals made by Parties. Addendum. Compilation of country-specific data and information as submitted by Parties
FCCC/SBSTA/2000/MISC.1/Add.2	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Views from Parties on national systems, adjustments and guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Submissions from Parties. Addendum
FCCC/SBSTA/2000/MISC.4	Development and transfer of technologies. Status of the consultative process (decision 4/CP.4). Submissions from Parties

FCCC/SBSTA/2000/MISC.7	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Submissions from Parties
FCCC/SB/2000/4	Mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol: consolidated text on principles, modalities, rules and guidelines. Note by the chairmen
FCCC/SB/2000/5	Implementation of Article 4.8 and 4.9 of the Convention. (Decision 3/CP.3 and Articles 2.3 and 3.14 of the Kyoto Protocol). Matters relating to Article 3.14 of the Kyoto Protocol. Note by the chairmen
FCCC/SB/2000/6 and Add.1	Activities implemented jointly under the pilot phase: fourth synthesis report on activities implemented jointly and draft revised uniform reporting format
FCCC/SB/2000/7	Procedures and mechanisms relating to compliance under the Kyoto Protocol. Proposals from the co-chairmen of the Joint Working Group on Compliance
FCCC/SB/2000/8	Capacity-building in developing countries (non-Annex I Parties)
FCCC/SB/2000/9	Capacity-building in countries with economies in transition
FCCC/SB/2000/MISC.4	Mechanisms pursuant to Articles 6, 12 and 17 of the Kyoto Protocol. Principles, modalities, rules and guidelines. Additional submissions from Parties

Other documents for the session

FCCC/SBSTA/2000/INF.5	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Report of a workshop on issues related to Articles 5, 7 and 8 of the Kyoto Protocol
FCCC/SBSTA/2000/INF.5/Add.2	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Report of a workshop on issues related to Articles 5, 7 and 8 of the Kyoto Protocol. Addendum. Elements of Articles 7 and 8 and the methodologies for adjustments under Article 5.2
FCCC/SBSTA/2000/INF.7	Methodological issues. Guidelines under Articles 5, 7 and 8 of the Kyoto Protocol. Modalities for the accounting of assigned amounts. Preliminary assigned amounts

FCCC/SB/2000/INF.1 and Add.1	Capacity-building. Capacity-building in developing countries (non-Annex I Parties). Compilation and synthesis of information on capacity-building needs and priorities of developing countries (non-Annex I Parties)
FCCC/SB/2000/INF.2	Capacity-building. Capacity-building in countries with economies in transition. Compilation and synthesis of information on capacity-building needs and priorities of Parties included in Annex I to the Convention but not included in Annex II
FCCC/SB/2000/INF.3	Capacity-building. Capacity-building in developing countries (non-Annex I Parties). Compilation and synthesis of information from Annex II Parties and relevant intergovernmental organizations on their capacity-building activities and programmes
FCCC/SB/2000/INF.4	Capacity-building. Report on the progress in the review by the Global Environment Facility of its enabling activities, its capacity-building activities in its normal work programme, its Country Dialogue Workshops and its Capacity Development Initiative
FCCC/SB/2000/INF.6	Capacity-building. Submissions from Parties not included in Annex I to the Convention
FCCC/SB/2000/INF.7	Capacity-building. Submissions from Parties included in Annex I but not included in Annex II to the Convention
FCCC/SB/2000/INF.8 and Add.1	Capacity-building. Submissions from Parties included in and Annex II to the Convention
FCCC/SB/2000/INF.9	Capacity-building. Submissions from relevant intergovernmental organizations on their ongoing capacity-building activities

Documents available for reference only

FCCC/CP/1999/6	Report of the Conference of the Parties on its fifth session, held at Bonn from 25 October to 5 November 1999

FCCC/CP/1999/6/Add.1	Report of the Conference of the Parties on its fifth session, held at Bonn from 25 October to 5 November 1999 Addendum. Part Two: Action taken by the Conference of the Parties at its fifth session
FCCC/CP/1998/16/Add.1	Report of the Conference of the Parties on its fourth session, held at Buenos Aires from 2 to 14 November 1998. Addendum. Part Two: Action taken by the Conference of the Parties at its fourth session
FCCC/CP/1997/7/Add.1	Report of the Conference of the Parties on its third session, held at Kyoto from 1 to 11 December 1997. Addendum. Part Two: Action taken by the Conference of the Parties at its third session
FCCC/CP/1996/15/Add.1	Report of the Conference of the Parties on its second session, held at Geneva from 8 to 19 July 1996. Addendum. Part Two: Action taken by the Conference of the Parties at its second session
FCCC/CP/1995/7/Add.1	Report of the Conference of the Parties on its first session, held at Berlin from 28 March to 7 April 1995. Addendum. Part Two: Action taken by the Conference of the Parties at its first session
FCCC/SBSTA/1999/14	Report of the Subsidiary Body for Scientific and Technological Advice on its eleventh session, Bonn, 25 October - 5 November 1999
FCCC/SBSTA/1999/6	Report of the Subsidiary Body for Scientific and Technological Advice on its tenth session, Bonn, 31 May - 11 June 1999

Annex II

PROPOSED SCHEDULE OF WORK FOR PART I OF THE THIRTEENTH SESSIONS OF THE SUBSIDIARY BODIES

	Monday 11 September	Tuesday 12 September	Wednesday 13 September	Thursday 14 September	Friday 15 September
10 a.m. to 1 p.m.	10 a.m. Welcoming ceremony 11 a.m. SBI items 1, 2, 9, 10, 11 and 14 SBSTA items 1, 2, 9 (a), 9 (b), 10 and 11	SBSTA *(continued)* INFORMALS	INFORMALS	INFORMALS	JOINT MEETING (SBSTA/SBI) SBSTA items 3, 4, 5, 6, 7 and 8 (a), 8 (b) SBI items 3, 4, 5, 6, 7 and 8 (a), 8 (b) *(possibly until 2 p.m.)*
3 p.m. to 6 p.m.	JOINT MEETING (SBSTA/SBI) SBSTA items 3, 4, 5, 6, 7 and 8 (a), 8 (b) SBI items 3, 4, 5, 6, 7 and 8 (a), 8 (b)	INFORMALS	INFORMALS	SBSTA items 9 (c), 12 and 13 SBI items 9, 10, 11 and 14	SBSTA items 9 (a), 9 (b), 10, 11 and 14 SBI items 12, 13 and 15
7 p.m. to 10 p.m.	JOINT MEETING (SBSTA/SBI) *(continued)* SBSTA items 9 (c), 9 (d), 12, 13 SBI items 12 and 13 *(following joint meeting)*	INFORMALS	INFORMALS	INFORMALS	